

III. Instructions & Procedures for those Intending to Apply

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)”.

1. Procedures to be Completed Prior to the Application

Three matters need to be completed before the application: (1) Verification of the Eligibility to Apply, (2) Verification of the Registration of the Researcher Information, (3) Obtaining an ID and Password to Use the Electronic Application System.

(1) Verification of the Eligibility to Apply

A qualified person should apply for a Grant-in-Aid for Scientific Research as a Principal Investigator.

Applicants should meet the requirements 1) and 2) below.

Moreover, if a qualified applicant belongs to more than one research institution, he or she can apply simultaneously from each of these research institutions. However, in that case, it is necessary to consider the rules on duplicate applications (see page 26).

In addition, JSPS Fellows and Foreign JSPS Fellows cannot apply for "Grant-in-Aid for Scientific Research".

Students, such as, for example, graduate students, cannot apply for Grants-in-Aid for Scientific Research. (See note.) Therefore, applicants should bear in mind that, 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.

(Note) 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”.

- ① **At the time of the application, a person needs to be recognized by the research institution (Note) to which he or she belongs to be a researcher who meets the requirements 1) , 2) and 3) below, and needs to be a researcher whose Researcher Information has been registered in e-Rad as “Eligible to Apply for Grants-in-Aid for Research”.**

Requirements

1) **The researcher should belong to the research institution as a person who has *inter alia* the duty to perform research activities within the research institution in question** (irrespective of whether the work is paid or unpaid, full-time or part-time. Moreover, it is not necessary for the researcher to perform these research activities as such as his or her main duty.)

2) **The researcher should actually be engaged in research activities at the research institution in question** (research assistant excluding) (This does not apply to cases where he or she is only engaged as a research assistant.)

3) The researcher is not a graduate student or any other category of student. (However, this does not apply to 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.)

Note: Research institutions as prescribed in Article 2 of the Rules for the Handling of Grants-in-Aid for Scientific Research (announced by the Ministry of Education)

(Reference) Requirements that need to be met by the research institution(see page 90)

Requirements

- If a KAKENHI is given, the research activity should be conducted as an activity of the research institution in question.
- If a KAKENHI is given, the research institution should carry out the management of the KAKENHI.

- ② **A person should not fall under “Not eligible for receipt of funding” in FY2010, because he or she committed fraudulent use, fraudulent receiving of grants or fraudulent acts of/with Grants-in-Aid for Scientific Research or other competitive funding.**

Persons who are employed through KAKENHI (hereinafter called “research grant employees”), as a rule, need to concentrate on work related to a KAKENHI 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 KAKENHI 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 KAKENHI, on their own initiative, it is possible for them to apply for KAKENHI, 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 sufficiently been secured, besides the time spent for employment related work.

In addition, it may happen to researchers that they are treated as indicated below, even if their researcher information has been registered in e-Rad as “Eligible to Apply for KAKENHI”.

- If it is judged in the research institution to which researchers belong that it is not appropriate to let them conduct their research activities as activities of the research institution in question, it may happen that the research institution does not recognize the application. It may also happen that the application for funding by these researchers in question is not recognized and that the application for funding of the KAKENHI is rejected.
- No KAKENHI will be funded, if there is a new application for Grants-in-Aid for Scientific Research from researchers who do not submit the report on the research achievements at the end of the research, without any reason, even if their research has been adopted after screening. Moreover, 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.

(2) Verification of the Registration of the Researcher Information in e-Rad

A Principal Investigator who tries to apply for research categories for which a call for proposals is organized this time should be a person who is eligible to apply at the time of the deadline for the submission of the application documents, and should be a person whose researcher information is registered in e-Rad as “Eligible to Apply for KAKENHI”.

Therefore, **when applying, it is necessary to first perform a verification of the content of the registration in e-Rad.**

However, for the registration in e-Rad, the applicant does not need to perform the procedures directly with the MEXT or JSPS, but the Principal Investigator should verify the registration

procedures that the research institution to which he or she belongs needs to perform (the registration deadline within the research institution, methods of verification of the current state of the registration, etc.) with the research institution to which he or she belongs, because the research institution to which he or she belongs needs to perform the procedures using e-Rad. (if there is any item (such as “the institution”, “the position”, or others) that needs to be corrected, even though he or she has already been included in e-Rad of the research institution, the applicant needs to register the correct information on e-Rad.)

(3) Obtaining an ID and a Password to Use the Electronic Application System

When applying, it is necessary to login into e-Rad, to access the Electronic Application System, and to prepare the application documents.

Therefore, the applicant should first be **provided with an ID and a password for e-Rad** by the research institution.

Moreover, once the ID and the password have been provided they can be used, unless the research institution changes. In addition, Researchers who already obtained an ID and a password issued by e-Rad do not need to obtain it again.

(Reference) On “Grant-in-Aid for Research Activity Start-up”

The “Grant-in-Aid for Research Activity Start-up” is aimed at supporting persons who cannot apply for the call for proposals this time, such as researchers who have just been employed by their research institutions, researchers who return from childcare leave or other kinds of leave, or other researchers.

The FY2012 call for proposals for this research category is scheduled for March 2012, and the eligibility to apply is scheduled to be as follows.

- ① Persons who could not apply for a research category, because they became eligible to apply for KAKENHI on the day after the application deadline (November 10, 2011) for the research categories (*1) for which the Ministry of Education, Culture, Sports, Science and Technology (MEXT) and the Japan Society for the Promotion of Science (JSPS) organized a call for proposals in September 2011.
- ② Persons who could not apply for the research categories (*1) for which the Ministry of Education, Culture, Sports, Science and Technology (MEXT) and the Japan Society for the Promotion of Science (JSPS) organized a call for proposals in September 2011, because they took up maternity leave or childcare leave in FY2011.

(Applicants should verify the details in the Application Procedures of March 2012.)

The research institution is responsible for conducting the registration of the researcher information and other matters in e-Rad. Therefore, researchers who may come to fall under the above-mentioned point ①, should respond appropriately and, for example, contact the office worker in charge in the research institution.

(*1) Among the Grants-in-Aid for Scientific Research for FY2012 there are “Scientific Research on Innovative Areas”, “Specially Promoted Research”, “Scientific Research”, “Challenging Exploratory Research” and

“Grant-in-Aid for Young Scientists”.

2. Verification of the Restrictions on Duplication

Before preparing the application forms, researchers who would like to apply for KAKENHI need to sufficiently verify the rules for “restrictions on duplication” in order to find out whether it is possible to apply for the research category they would like to apply for.

(1) Restrictions on Duplication in the Basic Policy

In the KAKENHI different “Research Categories” and “Screening Divisions” have been made, based on the scale of the research, the content, and other factors, This makes it possible to apply for research projects that meet the demands of various research forms.

On the other hand, taking into consideration the necessity to support many excellent researchers with limited resources, the danger of negatively affecting the operation of proper reviewing by an increase in the number of applications, and other elements, “Rules for Restrictions on Duplication” have been set up, based on the following fundamental principles.

- ① Making sure that as many excellent researchers as possible are supported with limited resources.
- ② Making sure that the number of applications does not increase dramatically, based on the reviewing system of each research category.
- ③ When setting up restrictions, primarily making the Principal Investigator who bears all responsibility eligible for the implementation of research projects, but also making the Co-Investigator (*kenkyū-buntansha*) eligible in some cases, for example, if the amount of funds in a research category is large.
- ④ Based on the fundamental principles outlined above, taking into consideration the purpose, character, and other elements of the “Research Categories” of the Grants-in-Aid for Scientific Research, and setting up restrictions on duplication separately, by making a distinction between the restrictions on application or restrictions on receiving of funds.

On Moreover, restrictions on duplication have also been established in the research categories for which a call for proposals is organized this time. Therefore, when applying, the applicant should sufficiently verify the description below and the “Table of Restrictions on Duplication” showed on pp.35-40.

(2) Restrictions on Duplicate Applications

① Cases where a researcher tries to apply as the “Principal Investigator” for two research projects.

【Type “Principal Investigator→Principal Investigator”】 (see page 35)

Consequently, he or she cannot make more than one application for one and the same research category (screening division) at the same time (**In case he or she has a continued research project, he or she cannot apply for a new research project in one and the same research category (screening division).**)

(cases that fall under “—” in the table)

In case one researcher tries to make a duplicate application for two research projects, as the Principal Investigator for both, the following restrictions on duplicate applications of the type from A to E below apply.

However, this does not apply in case a researcher extended the research period for a KAKENHI (Multi-year Fund) in the final fiscal year (except in cases where she also obtained maternity leave or childcare leave) and in case of an “Application for a grant for the fiscal year before the final fiscal year of a research project” (See “Special cases in the restrictions on duplicate applications”, page 32).

A Cases where a researcher can only apply for one research project.

(cases that fall under “×” in the table)

B Cases where a researcher cannot apply for a new research project, because he or she is implementing a continued research project.

(cases that fall under “▲” in the table)

C Cases where a researcher can apply for both research projects, but, if both are adopted, he or she can only implement the research of one research project, as laid down in the rules.

〔 For “■” in the table, the research categories in the section A are given priority
For “□”, the research categories in the section B are given priority 〕

D Cases where a researcher can apply for both research projects, but, if both are adopted, the researcher who applied has to decide which one he or she will implement.

(cases that fall under “※”)

E Cases where, as a general rule, duplicate applicants are not recognized, but where a researcher can apply for both research projects, only if the conditions added below are met.

〔 If a researcher applies as a Principal Investigator for “Scientific Research”, screening division “Overseas Academic Research”, as a general rule, he or she cannot apply as a Principal Investigator for “Scientific Research”, screening division “General” However, except in cases where it is necessary to conduct individually two research projects which clearly differ in objective, plan or methodology within the same fiscal year. 〕

(cases that fall under “★” in the table)

② Cases where a researcher who applies as the Principal Investigator tries to participate as the Co-Investigator (*kenkyū-buntansha*) of another research project.
【Type “Principal Investigator→Co-Investigator (*kenkyū-buntansha*)”】 (see page 37)

In case one researcher applies as the Principal Investigator for a certain research project and at the same time also tries to participate as the Co-Investigator (*kenkyū-buntansha*) of another research project, or, in case a researcher who has already become the Principal Investigator of a research project the continuation of which is scheduled in FY2012 (continued research project) also tries to participate as the Co-Investigator (*kenkyū-buntansha*) of another research project, he or she can normally apply for both projects.

However, for a part of the research categories, mainly Specially Promoted Research, Scientific Research on Innovative Areas (Research in a Proposed Research Project), Challenging Exploratory Research, etc., there are restrictions on duplicate applications of the type from A to C below.

A Cases where a researcher can only apply for one research project.

(cases that fall under “×” in the table)

B Cases where a researcher cannot apply for a new research project, because he or she is implementing a continued research project.

(cases that fall under “▲” in the table)

C Cases where a researcher can apply for both research projects, but, if both are adopted, he or she can only implement the research of one research project, as laid down in the rules.

〔For “■” in the table, the research categories in the section A are given priority
For “□”, the research categories in the section B are given priority〕

③ Cases where a researcher who participates in research as the Co-Investigator (*kenkyū-buntansha*) tries to apply as the Principal Investigator of another research project.
【Type “Co-Investigator (*kenkyū-buntansha*)→Principal Investigator”】 (see page 39)

In case one researcher tries to participate as the Co-Investigator (*kenkyū-buntansha*) in a certain research project and at the same time also applies as the Principal Investigator of another research project, or, in case a researcher who has already become the Co-Investigator (*kenkyū-buntansha*) of a research project the continuation of which is scheduled in FY2012 (continued research project) also applies as the Principal Investigator of another research project, he or she can normally apply for both projects.

However, for a part of the research categories, mainly Specially Promoted Research, or other projects, there are the same restrictions on duplicate applications as in point ②).

④ Cases where a researcher who participates as the Co-Investigator (*kenkyū-buntansha*) of a research project also tries to participate as the Co-Investigator (*kenkyū-buntansha*) of another research project.

【Type “Co-Investigator (*kenkyū-buntansha*)→Co-Investigator (*kenkyū-buntansha*)”】

In case one researcher tries to participate as the Co-Investigator (*kenkyū-buntansha*) in a certain research project and at the same time also tries to participate as the Co-Investigator (*kenkyū-buntansha*) of another research project, or, in case a researcher who has already become the Co-Investigator (*kenkyū-buntansha*) of a research project the continuation of which is scheduled in FY2012 (continued research project) also tries to participate as the Co-Investigator (*kenkyū-buntansha*) of another research project, he or she can normally apply for both projects.

However, for Specially Promoted Research, a researcher cannot participate in two research projects as the Co-Investigator (*kenkyū-buntansha*). In addition, in case a researcher has already become the Co-Investigator (*kenkyū-buntansha*) of Specially Promoted Research, he or she cannot participate as the Co-Investigator (*kenkyū-buntansha*) of other Specially Promoted Research either.

(3) Restriction Rules on the Receiving of Grants

Among the Restrictions on Duplication, the handling of cases that fall under the category “A researcher can apply for both research projects. However, in case both are adopted, he or she can only implement the research of one research project” (restrictions on receiving of grants) is as follows.

① On the handling in case both applications that fall under “■” or “□” are adopted

A In cases of “Principal Investigator” and “Principal Investigator” (cases of Principal Investigator of Specially Promoted Research and Principal Investigator of other research categories, etc.), as a result of the restrictions on duplication, a researcher should abandon (or should decline to accept) the research project he or she does not implement, if he or she can only implement the research category mentioned in section A or section B, as laid down in the rules.

However, for research projects of the research category “Scientific Research on Priority Areas” (Summarizing Group Research Projects, Support Group Research Projects and Adjustment Group Research Projects), it may happen that the implementation of the research through a replacement of the Principal Investigator is recognized, in “cases where it is recognized that the research of the area or the research project in question can be continued by a person from among the Co-Investigator(s) (*kenkyū-buntansha*) who can replace the Principal Investigator”.

B As a result of the Restrictions on Duplication of Principal Investigators of Specially Promoted Research and Co-Investigators (*kenkyū-buntansha*) of other research categories, a researcher should cease being a “Co-Investigator (*kenkyū-buntansha*)” for research projects other than Specially Promoted Research, if he or she can only implement a research project of Specially Promoted Research (as the Principal Investigator).

Moreover, if he or she ceases being the “Co-Investigator (*kenkyū-buntansha*)”, he or she should abandon (or should decline to accept) research projects of which he or she cannot continue the research.

C As a result of the Restrictions on Duplication in case of Co-Investigators (*kenkyū-buntansha*) of Specially Promoted Research and Principal Investigators of other research categories, a researcher should abandon (or should decline to accept) research projects he or she does not implement, if he or she can only implement a research project of Specially Promoted Research (as Co-Investigator (*kenkyū-buntansha*)).

However, for research projects of the research category “Scientific Research on Priority Areas” (Summarizing Group Research Projects, Support Group Research Projects and Adjustment Group Research Projects), it may happen that the implementation of the research through a replacement of the Principal Investigator is recognized, in “cases where it is recognized that the research of the area or the research project in question can be continued by a person from among the Co-Investigator(s) (*kenkyū-buntansha*) who can replace the Principal Investigator”.

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| ② On the handling in case both applications that fall under “※” are adopted, but the researcher selects one of the research projects |
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A In case a researcher selects and implements a research project of “Scientific Research (S)”, he or she should abandon (or should decline to accept) research projects of “Scientific Research on Innovative Areas (Research in a Proposed Research Area)” (Planned Research).

B In case a researcher implements a research project of “Scientific Research on Innovative Areas (Research in a Proposed Research Area)” (Planned Research), he or she should abandon (or should decline to accept) research projects of “Scientific Research (S)”.

(4) Other Important Points

- 1) Even if duplicate application, etc. is possible according to the rules on restriction of duplication, the researcher should consider the restrictions in case of “Situations where the applicant cannot carry out his/her responsibility as a Principal Investigator or a Co-Investigator (*kenkyū-buntansha*), due to participation in multiple research projects”. Altogether, he or she should consider the content of “Elimination of Unreasonable Reduplication and Excessive Concentration” mentioned on page 9.
- 2) Even if the application has been accepted in the Electronic Application System, it may happen in some cases that afterwards it is not accepted for reviewing, due to the Restrictions on Duplicate Applications. This may happen, for example, in case a change has taken place in the project members of continued research projects. The researcher should sufficiently verify this before the submission of the application documents.
- 3) Even when a researcher who is eligible to make applications in multiple research institutions applies at the same time from multiple research institutions separately, the restrictions on duplicated applications apply to that researcher in question (Principal Investigator or Co-Investigator (*kenkyū-bentansha*)).
- 4) When verifying the “Table of Restrictions on Duplication”, the participation form to “Summarizing Group Research Projects” in case of research categories creating research areas, etc. is special (see “Application Procedures for Grants-in-Aid for Scientific Research-KAKENHI- FY2012 (MEXT)”). Therefore, applicants should take note of the following points.
 - A The “Principal Investigator of Summarizing Group Research Projects in Scientific Research on Innovative Areas (Research in a Proposed Research Area)” should verify the relation with “Principal Investigators or Co-Investigators (*kenkyū-buntansha*) of research projects who try to make a duplicate application” in the relevant section of the “Table of Restrictions on Duplication”.
 - B The “Co-Investigator (*kenkyū-buntansha*) of Summarizing Group Research Projects in Scientific Research on Innovative Areas (Research in a Proposed Research Area)” should verify the relation with “Participation Form to General Planned Research (Planned Research Other than Summarizing Group Research Projects) (Principal Investigators and Co-Investigators (*kenkyū-buntansha*))” and with “Principal Investigators or Co-Investigators (*kenkyū-buntansha*) of research projects who try to make a duplicate application” in the “Table of Restrictions on Duplication”.
 - C Persons who participate as Principle Investigators or Co-Investigators (*kenkyū-buntansha*) to “Summarizing Group Research Projects”, “Support Group Research Projects” or “Adjustment Group Research Projects” in “Scientific Research on Priority Areas” should verify the relation

with “Participation Form to General Planned Research (Summarizing Group Research Projects, Support Group Research Projects and Adjustment Group Research Projects) (Principal Investigators and Co-Investigators (*kenkyū-buntansha*))” and with “Principal Investigators or Co-Investigators (*kenkyū-buntansha*) of research projects who try to make a duplicate application” in the “Table of Restrictions on Duplication”.

- 5) In case the continued research project which needs to be abandoned according to the restriction on the receiving of grants ① has FY2012 as the final fiscal year, and ② has been selected before FY2010, the Principal Investigator should submit a report on the research achievements (a working paper) and other matters related to the research project in question between June 20 and June 30, 2013.

(5) Special cases in the restrictions on duplicate applications

(Application for a grant for the fiscal year before the final fiscal year of a research project)

- 1) When a Principal Investigator of a research project wishes to restructure the research project in the light of developments in the research in question, and the research project (continued research project) belongs to the type “Specially Promoted Research”, “Scientific Research” or Grant-in-Aid for Young Scientists, the research period is 4 years or more, and FY2012 is the last fiscal year of the research period, then he or she may apply for an “Application for a grant for the fiscal year before the final fiscal year of a research project”.
- 2) The research categories for which new applications may be made, as “Application for a grant for the fiscal year before the final fiscal year of a research project”, are “Specially Promoted Research”, and “Scientific Research”. However, the only research category for which a new application can be made, based on research projects of the category “Grant-in-Aid for Young Scientists (S/A/B)”, is “Scientific Research”.
- 3) The restrictions on duplicate applications do not apply to cases where there is, on the one hand, a new application for a research project of the type “Application for a grant for the fiscal year before the final fiscal year of a research project” and, on the other hand, a continued research project on which the new application is based.

However, the restrictions on duplicate applications do apply to cases where there are, on the one hand, these projects and, on the other hand, other research projects under the supervision of the same Principal Investigator for which an application has been made (including continued research projects).

- 4) When the research project for which a new application has been made is selected, the KAKENHI of FY2011 for the continued research project on which the new application is based will, as a general rule, not be paid. Even in case when the grant has been paid, the full amount of

the grant should be refunded. For this reason, the proposal for grant-in-aid for a research project for which a new application is made should include a part of the budget necessary for the implementation of the continued research project for FY2011

Moreover, in this case, the Principal Investigator should submit a report on the research achievements (a working paper) and other matters related to the continued research project in question between June 20 and June 30, 2013. Therefore, he or she should include the budget for the report, etc. in question, when completing the preparations.

(Handling of Restrictions on Duplicate Applications Brought About by an Extension of the Research Period)

- 1) For KAKENHI (Multi-year Fund), the restrictions on duplicate applications do not apply to cases where there is, on the one hand, a research project of which the research period has been extended and, on the other hand, a new research project for which the researcher tries to apply, on condition he or she extend the research period in the final fiscal year (except in cases where the researcher obtained maternity leave or childcare leave).
- 2) However, the restrictions on duplicate applications do apply to cases where there is, on the one hand, a new research project for which the researcher tries to apply and, on the other hand, another research project for which the same Principal Investigator applies (including continued research projects).

(Handling of Restrictions on Duplicate Applications of Principal Investigators Who are Affected by the Great East Japan Earthquake)

- 1) If Principal Investigators of research projects for which the research period continues beyond FY2012 (continued research projects) wish to modify the research plan of their continued research projects, due to the effects of the Great East Japan Earthquake, they can apply for new research projects, after submitting Form U – 2 “Report on the State of Affairs Regarding the Effects of the Great East Japan Earthquake” by October 13 (Thursday) 2011. (Documents that arrive later will not be accepted.)

Moreover, based on this special exception, the number of projects for which they can apply in addition to the one continued research project is limited to one project.

- 2) The restrictions on duplicate applications do not apply to cases where there is, on the one hand, a new application for a research project and, on the other hand, a continued research project on which the new application is based.
- 3) When the research project for which a new application has been made is selected, the KAKENHI of FY2011 for the continued research project on which the new application is based

will, as a general rule, not be paid. Even in case when the grand has been paid, the full amount of the grant should be refunded.

When the research project for which a new application has been made is not selected, the KAKENHI of FY2011 for the continued research project will, as a general rule, be paid.