

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

1. On the handling of research projects that are scheduled to be continued in FY2012 (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 FY2011 (continued research projects). (However, in order to receive KAKENHI, 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 KAKENHI)

- 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 41), 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 FY2012 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 FY2012, (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 142).

(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 FY2011 (continued research projects). (However, in order to

receive KAKENHI, 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 KAKENHI)

- 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 KAKENHI) and Submitting the Application (Proposal for KAKENHI)” (see page 41), the applicant should verify it. Moreover, as a general rule, applications for an increase of the budget for continued research projects are not accepted. In addition, for KAKENHI (Multi-year Fund), applicants can make changes to the annual plan of the research budget, depending on the needs of the research. Therefore, changes to the annual plan of the research budget that is scheduled to be granted from FY2012, do not fall under the category of significant changes in the research project.

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 FY2012 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”).

Moreover, even if the applicant makes significant changes in a continued research project, the KAKENHI (KAKENHI (Series of Single-year Grants) or KAKENHI (Multi-year Fund)) granted will not change from the KAKENHI that was originally granted.

- 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 (Thursday), 2011. (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 KAKENHI from FY2012 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)”.

Moreover, in case the applicant wishes to make a new application in order to modify the research plan of his/her continued research project, due to the effects of the Great East Japan Earthquake, he or she can apply for a new research project 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.) In addition, if the research project in question for which a new application has been made is adopted, the KAKENHI of FY2012 for the original continued research project will, as a general rule, not be granted. Even if it has been granted, the full amount should be refunded (see page 33).

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, 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. Moreover, students cannot participate in research projects as Co-Investigators (*kenkyū-buntansha*) or Co-Investigators (*renkei-kenkyūsha*).

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, only if they have been implementing research as Principal Investigators since before 2010, they can continue to implement the research project in question.

3. 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 KAKENHI 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 KAKENHI due to be implemented in the same fiscal year will be suspended.