Ⅴ. Instructions & Procedures for Staff of the Research Institution

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. Issues to Be Completed Beforehand by the "Research Institution"

(1) Requirements as a "Research Institution" and Procedures for Designation and Change

In order to apply for KAKENHI, a researcher needs to belong to a "Research Institution".

Concerning the "Research Institution" cited here, the following four types of "Research Institution" have been designated as eligible in Article 2 of the Rules for the Handling of Grants-in-Aid for Scientific Research (announced by the Ministry of Education, Culture, Sports, Science and Technology).

1) Universities and inter-university research institutions
2) MEXT facilities and other institutions engaged in scientific research
3) Technical colleges
4) Institutions designated by the Minister of MEXT (See note.)

(Note) In order to become research institution, institutions not falling under 1) to 3) first need to receive the designation by the Minister of Education, Culture, Sports, Science and Technology (MEXT). Therefore, applicants should consult with the Scientific Research Aid Division of the Research Promotion Bureau of the Ministry of Education, Culture, Sports, Science and Technology (MEXT).

Moreover, if changes in one of the following items have been scheduled, institutions that have received the designation by the Minister of Education, Culture, Sports, Science and Technology (MEXT) and already have been recognized as research institution should promptly report the content of these changes to the Scientific Research Aid Division of the Research Promotion Bureau of the Ministry of Education, Culture, Sports, Science and Technology (MEXT).

A) abolition or dissolution of the research institution,
B) name and address of the research institution, and name of the representative,
C) matters concerning laws, regulations, endowment acts and other rules that prescribe the purpose of establishment, the business content, and the internal organization of the research institution.

Moreover, **researchers should consider that**, in order to conduct research activities using KAKENHI, **the research institution should meet the requirements mentioned below**.

(Requirements)

A) if a KAKENHI is given, the research activity should be conducted as an activity of the research institution in question,
B) if a KAKENHI is given, the research institution should carry out the management of KAKENHI.

(2) Verification of the Eligibility to Apply of the Affiliated Researcher

Researchers who try to apply for KAKENHI, should meet the requirements 1) and 2) below. Therefore, they should sufficiently verify these requirements with the research institution.

Moreover, graduate students or other 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.

Researchers who try to apply for KAKENHI, should meet the Eligibility to Apply.（see page 23）

1) At the time of the application, a person needs to be recognized by the research institution to which he or she belongs to be a researcher who meets the requirements A), B) and C) below, and needs to be a researcher whose Researcher Information has been registered in e-Rad as “Eligible to Apply for KAKENHI”.

(Requirements)

A) 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 of part-time. Moreover, it is not necessary for the researcher to perform these research activities as his or her main duty.)

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

C) The researcher is not a graduate student or any other category of student. (However, this does not apply to persons who hold 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 those who also have a student status.)

2) A person should not fall under “Not eligible for receipt of funding” in FY2012, because he or she committed fraudulent use, fraudulent receiving of grants or fraudulent acts of/with KAKENHI or other competitive funding.

Research grant employees, as a rule, need to concentrate on their employment related work according to their employment contract. Therefore, considering the working hours they need to allot to their 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 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. In this case, they can apply as a Principal Investigator, and they can also become Co-Investigators (*kenkyū-buntansha*), Co-Investigators (*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 their employment related work.
- The employment related work and the work devoted to research that they conduct themselves on their own initiative has clearly been divided in the working hours and the effort.
- Time that can be allotted to research which they attempt to conduct themselves on their own initiative has been secured, besides the time spent for employment related work.

(3) Registration of the Researcher Information in e-Rad

Individuals other than the Principal Investigator who try to apply, being the Co-Investigator(s) (*kenkyū-buntansha*) and the Co-Investigator(s) (*renkei-kenkyūsha*) who make up the Project Members <u>should be individuals of whom the researcher information has been registered in e-Rad as “Eligible to Apply for KAKENHI”.</u>

Regarding the registration (renewal) of the researcher information necessary when applying, the person in charge in the research institution to which the researcher belongs should 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 the researcher list of the research institution, the applicant needs to register the correct information on the researcher list.）

For specifics on the method of registration, the research institution should verify the “Manual for Research Institutions to which the Researchers Belong (KAKENHI for Research Institutions)”.

Moreover, concerning the registration of the researcher information in e-Rad, there is no registration period (deadline). Therefore, registration is possible at any time.

<u>Moreover, Since Proposals for Grant-in-Aid will not be accepted after the deadline for submission of application documents, applicants should complete the registration (the renewal) of the researcher information early, in order to have sufficient time to submit (send) them.</u>

<u>In order not to negatively affect the compilation of the applications within the research institution, when completing the applications, the research institution should perform the various procedures (including the procedures within the research institution), positioning this specific procedure as one of the important procedures to be performed by the research institution.</u>

(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 to be issued in March 2012. Eligibility to apply is as follows:

(1)Researchers who did not apply for this grant category because they became eligible to apply for a Grant-in-Aid after the 10 November 2011 deadline for applications under the below-listed (*1) categories, openly solicited by MEXT and JSPS from September 2011.

(2)Researchers who were unable to apply for the below-listed (*1) grant categories openly solicited by MEXT and JSPS in September 2011 because they were on leave for child birth and/or infant raising in FY 2011.

(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, applicants should bear this in mind when registering researcher information that may come to fall under the above-mentioned point 1) or when carrying out other procedures.

(*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”.

(4) Verification of the ID and the Password of the Researcher Belonging to the Research Institution

In order to apply for KAKENHI, researchers should perform the procedures, by logging in into e-Rad, and by accessing the “Electronic Application System”), he or she should retain the ID and the Password for e-Rad. For this reason, the research institution should verify whether researchers who are scheduling to apply have an ID and a Password, or not. Especially in the case a researcher who applied has subsequently transferred to another research institution, he or she cannot longer use the ID and the Password that has been provided by the research institution he or she belonged to before the transfer. Therefore, the new research institution the researcher belongs to needs to provide a new ID and Password.

In case there is a researcher who has scheduled to apply and who has no ID or Password, the research institution should deal with this matter as follows.

1) In order to provide the researcher with an ID and a Password, the research institution needs to have an Electronic Certificate for Research Institutions, an ID and a Password. If the research institution has not yet obtained them, it should first of all download a registration form from the e-Rad Portal Site, conduct a registration application in writing.

   It takes approximately two weeks for the “ID and password for use of the research institution” to arrive after registration application the “Application for Use of the Electronic Application System”.

Note 1 Please refer to "Advance Preparation when Using the System" (http://www.e-rad.go.jp/shozoku/system/index.html) on the e-Rad website for information on downloading the e-Rad electronic certificate, ID and password.

Note 2 Research institutions that already obtained an electronic certificate issued, an ID and a password issued do not need to obtain it again.

Note 3 It is not necessary to obtain an electronic certificate, an ID and a password for each research category of the KAKENHI.

2) After obtaining an ID and a password for use in the research institution, the people in the research institution should provide this ID and password to the researcher who is planning to apply as a Principal Investigator. Please refer to the "Manual for Research Institutions to which the Researchers Belong (Grants-in-Aid for Scientific Research for Research Institutions)" for information on the concrete way how to provide them.

Note 1 Once the ID and the password have been provided they can be used, unless the research institution changes.

Note 2 In case the ID and the Password for e-Rad have already been provided, it is not necessary to provide them a second time.

Note 3 Please be sure to obtain and use the latest version of the Operation Manual.

(5) Submission of a "Self-Assessment Checklist on the Improvement of the System and Other Matters", based on the "Guidelines on the Management and Audit of Public Research Funds at Research Institutions (Implementation Standards)"

The Research Institution that is applying for KAKENHI should set up a system for the management and audit of public research funds, based on the "Guidelines on the Management and Audit of Public Research Funds at Research Institutions", and should report on its state of implementation.

Therefore, the Research Institution (including research institutions which are already engaged in a continued research project funded with a KAKENHI) that is applying for KAKENHI should submit a "Self-Assessment Checklist on the Improvement of the System and Other Matters", based on the "Guidelines on the Management and Audit of Public Research Funds at Research Institutions (Implementation Standards)" to the Office of Research Funding Administration of the Promotion Policy Division of the Research Promotion Bureau of the Ministry of Education, Culture, Sports, Science and Technology (MEXT) by October 7 (Friday), 2011, using e-Rad. **Please be advised that, in case the report is not submitted, applications of researchers who belong to the research institution in question in the electronic system will not be considered.**

Moreover, if the checklist has already been submitted in April 2011 or later through e-Rad when applying for competitive funding or other kinds of funding that is allotted by the Ministry of Education, Culture, Sports, Science and Technology (MEXT) or by independent administrative legal entities under the control of the Ministry of Education, Culture, Sports, Science and Technology (MEXT). It is not necessary to submit it again.

When using e-Rad, one needs an Electronic Certificate for Research Institutions, an ID and a Password.

Moreover, the Office of Research Funding Administration of the Promotion Policy Division of the Research Promotion Bureau of the Ministry of Education, Culture, Sports, Science and Technology (MEXT) is scheduled to separately send a notification by e-mail addressed to each research institution (i.e. to the e-mail address of the office representative that has been registered in e-Rad) concerning the submission method of the checklist using e-Rad, forms and other matters. (This notification will also be put on the web page for inquiries as mentioned on page 98.)

Please direct inquiries to:

(for inquiries concerning forms of the guidelines and submission)

Office of Research Funding Administration
Promotion Policy Division
Research Promotion Bureau
Ministry of Education, Culture, Sports, Science and Technology (MEXT)
e-mail: kenkyuhi@mext.go.jp
URL: http://www.mext.go.jp/a_menu/kansa/08122501.html

(for inquiries concerning the registration of the research institution in e-Rad)

Helpdesk of the Cross-ministerial Research and Development management system of the Ministry of Education, Culture, Sports, Science and Technology (MEXT)
Tel. 0120-066-877
(office hours: 9:30-17:30, except on Saturdays, Sundays, National Holidays and the New Year Holidays (from December 29 until January 3))
URL: http://www.e-rad.go.jp/shozoku/system/index.html

(6) On the Submission of the Report on the Research Achievements

The research institution to which researchers belong has to collect and submit the reports on the research achievements. If the research institution has failed, without good reason, to submit the reports on the research achievements at the end of the research, it may happen that it is treated as indicated below. 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.

- No KAKENHI will be funded to researchers who do not submit the report on the research achievements at the end of the research, without good reason. Moreover, it may happen that the decision to grant 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.

(7) Obtaining Sufficient Knowledge about the Contents of the Application Procedures

The research institution should beforehand disseminate the contents of the Application Procedures to all the researchers on the campus. JSPS would especially like to request the dispersion of information on the items listed in the Application Procedures and the submission deadlines of application documents, in order to avoid potential misunderstandings.

Moreover, the Application Procedures are available on the section Grants-in-Aid for Scientific Research of the JSPS website (http://www.jsps.go.jp/j-grantsinaid/index.html). The website should be used as a reference.

2. Issues that Need to Be Verified When Compiling the Application Forms (Preparing the Proposal for Grant-in-Aid)

The contents of the Proposals for Grant-in-Aid should be verified in each research institution, and all the Proposals for Grant-in-Aid should be submitted to JSPS together. When doing so, special attention should be paid to the following points.

(1) Verification of the Eligibility to Apply

It should be verified whether the Principal Investigator, the Co-Investigator(s) (*kenkyū-buntansha*) and the Co-Investigator(s) (*renkei-kenkyūsha*) listed in the Proposal for Grant-in-Aid are persons who meet the requirements that are stipulated in the Application Procedures (see page 23), and also whether the researcher information is registered in e-Rad as “Eligible to Apply for KAKENHI”.

Moreover, on this occasion, it should certainly be verified whether the researchers who apply are not persons who have been excluded from receiving KAKENHI, due to an inappropriate use of KAKENHI.

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

Individuals other than the Principal Investigator who try to apply, being the Co-Investigator(s) (*kenkyū-buntansha*) and the Co-Investigator(s) (*renkei-kenkyūsha*) who make up the Project Members should be individuals of whom the researcher information has been registered in e-Rad as "Eligible to Apply for KAKENHI".

Regarding the registration (renewal) of the researcher information necessary when applying, the person in charge in the research institution to which the researcher belongs should perform the procedures using e-Rad.

Moreover, 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 the researcher list of the research institution, the applicant needs to register the correct information on the researcher list. Therefore, this should be verified.

(3) Verification of the Principal Investigator

The research institution should verify whether the Principal Investigator, the Co-Investigator(s) (*kenkyū-buntansha*), the Co-Investigator(s) (*renkei-kenkyūsha*) who have been listed in the Preparing the proposal for grant-in-aid prepared the Preparing the proposal for grant-in-aid after verifying the section "II. Details of the Call for Proposals", which are laid down in the Application Procedures.

(4) Verification of the Written Consent of the Co-Investigator (*kenkyū-buntansha*)

For each Co-Investigator (*kenkyū-buntansha*) who has been listed on the proposal for grant-in-aid, that the Principal Investigator prepared, the research institution should check the Written Consent of the Co-Investigator (*kenkyū-buntansha*) that the Principal Investigator collected.

(5) Verification of the Application Forms

Applicants should verify whether the application forms for grants-in-aid are in conformity with the prescribed format.

Moreover, the format and other matters of the application forms for each research category are as follows.

Research category	Proposal for grant-in-aid	
	First part	Second part
	Application information (to be entered in the website)	Project description file
Specially Promoted Research (New) (English Version)	To be entered in the electronic application system	S-1-1 (1)
Specially Promoted Research (New) (Japanese Version)		S-1-1 (2)
Specially Promoted Research (Continued)		S-1-2
Scientific Research (S)		S-1-6
Scientific Research (A)		S-1-7
Research related to the screening panel for Overseas Academic Research		S-1-9
Scientific Research (B)		S-1-7
Research related to the screening panel for Overseas Academic Research		S-1-9
Scientific Research (C)		S-1-8
Challenging Exploratory Research		S-1-10
Grant-in-Aid for Young Scientists (A)		S-1-12
Grant-in-Aid for Young Scientists (B)		S-1-13
Continued Research Project (in the case of a major change in the research project)		S-1-14

3. Submission and other matters of the Application Forms (Preparing the Proposal for Grant-in-Aid) Outline of the Electronic Application Procedures

(1) The research institution should login in e-Rad, using the ID and the password for e-Rad, access the “Electronic Application System”, obtain the information of the Proposals for Grant-in-Aid (PDF files) that the Principal Investigators prepared, and verify their contents and other matters.

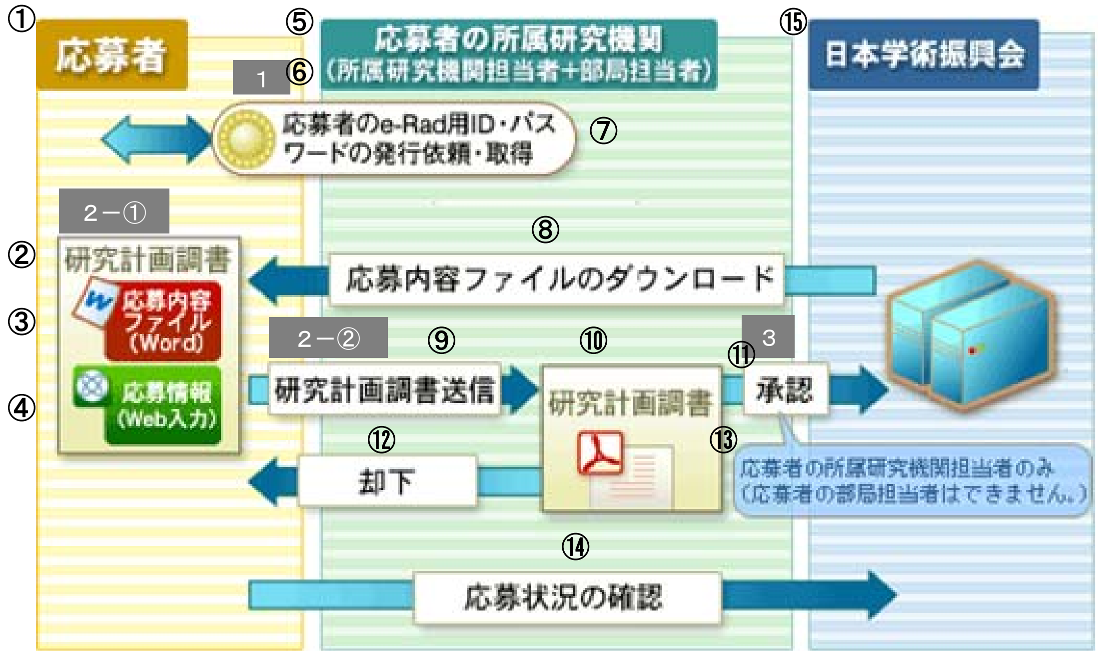
(2) The research institution should perform the “approval” process on all the proposals for grant-in-aid (PDF files) that have no mistakes in their contents. (It should submit (send) the proposals for grant-in-aid (PDF files) to JSPS.)

> The deadline for the submission (sending) of the proposals for grant-in-aid is:
>
> **November 10 (Thursday), 2011, 4:30 pm** (This deadline should be observed strictly.)
>
> **Note 1** Application documents that are submitted (sent) after this deadline will not be accepted. Therefore, the documents should be submitted (sent) well in advance.
>
> **Note 2** After the submission (sending) of the application documents, it is not possible to make corrections or to re-submit them.

(3) The electronic certificate, the ID and the password which are used in the e-Rad are designed to verify the research institution and the individual. Therefore, the handling and administration of them should be done carefully when carrying out the application procedures.

Moreover, an outline of the procedures for electronic application can be found below. However, for details on the “Electronic Application System”, please refer to the “Operation Manual”.

Outline of the Electronic Application Procedures



① applicant
② proposal for grant-in-aid
③ project description file (Word)
④ application information (to be entered in the website)
⑤ the research institution to which the applicant belongs
⑥ person in charge in the research institution + person in charge in the department
⑦ request for issue and acquisition of the applicant's ID and password for e-Rad
⑧ downloading of the project description file
⑨ sending the proposal for grant-in-aid
⑩ proposal for grant-in-aid
⑪ approval
⑫ rejection
⑬ only the person in charge of the research institution to which the applicant belongs (The person in charge of the department of the applicant cannot make an approval.)
⑭ confirmation of the state of the application
⑮ the Japan Society for the Promotion of Science (JSPS)

The person in charge of the research institution to which the applicant (Principal Investigator) belongs

1 The person in charge of the research institution to which the applicant belongs issues the ID and the password to the applicant.

The applicant (Principal Investigator)

2-(1) The applicant logs into e-Rad using the ID and the password he or she received, and then accesses the “electronic application system” and prepares the proposal for grant-in-aid (PDF file), by entering the application information (to be entered in the website) and by attaching the project description file (items in the attached file).

2-(2) If there are no mistakes in the proposal for grant-in-aid (PDF file) the applicant prepared, he or she should submit the proposal for grant-in-aid (PDF file) to the person in charge of the research institution to which he or she belongs, by performing the “completed and submission” .

The person in charge of the research institution to which the applicant (Principal Investigator) belongs

3 By approving the proposal for grant-in-aid (PDF file) the person in charge of the research institution to which the applicant belongs submits (sends) it to JSPS.

Moreover, if the proposal for grant-in-aid (PDF file) that the applicant submitted is not approved due to mistakes or other reasons, it will be rejected and the applicant will be requested to make corrections.