

(Reference 1) Screening Panels and Other Matters

1. Screening Panels

The screening for KAKENHI is carried out by the Scientific Research Grant Committee of the Japan Society for the Promotion of Science (JSPS), and it is based on the application documents (Proposal for grant-in-aid).

For “Specially Promoted Research”, the judges (i.e. screening committee) are organized separately for each of the three areas (1) humanities/social sciences, (2) science/engineering, and (3) biological sciences. They will make a selection of research projects for which an interview will be organized and conduct the interviews. This selection will be based on the proposals for grants-in-aid and the opinions in writing of the screening panel. (These opinions will be prepared by a panel comprising three persons in charge of writing the opinions, either domestic (based in Japan) or overseas.)

The screening is scheduled to be carried out in two stages. In the first stage of the screening (document-based screening), the committee consists of six judges in the case of “Scientific Research (S)”, “Scientific Research (A/B)” (“General”), and four judges in the case of “Scientific Research (C)”, “Challenging Exploratory Research”, and “Grant-in-Aid for Young Scientists (A/B)”. The judges carry out the screening individually. Subsequently, the second stage of the screening, which takes the form of a conference of judges conducting a screening (collegial screening), is scheduled to be carried out. Furthermore, in the case of “Scientific Research (S)”, screening through an interview is scheduled.

For “Scientific Research (A/B)” (screening division “Overseas Academic Research”) the examination of the applications will be conducted by a collegial meeting which will be organized separately for each the following areas: humanities, social sciences, science/engineering, and biological sciences.

The screening takes place behind closed doors. The submitted application documents are not returned to the applicants.

2. Screening Methods, Key Points, and Other Matters

The “evaluation rules” (rules concerning the screening and evaluation for Grants-in-Aid for Scientific Research, called “screening and evaluation rules” below) 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 “screening and evaluation rules” for FY2012 will be posted on the JSPS website around early October.)

3. Notification of the Screening Results

(1) Specially Promoted Research

- 1) JSPS will issue a notification in writing on the results of the selection of the research projects for which an interview will be organized. (This is scheduled for March)
- 2) The Ministry of Education, Culture, Sports, Science and Technology (MEXT) will issue a notification in writing to the research institution on whether the research project has been selected or not, based on the results of the screening. (This is scheduled for early April.)
- 3) JSPS will issue a notification containing the opinions expressed in the screening results and a summary of the state of the screening to the Principal Investigator of the research project that has been selected. JSPS is also planning to make an outline of the opinions expressed in the screening results available to the general public. Moreover, to Principal Investigators who have not been selected a notification containing the approximate ranking among the research projects that have been screened, in addition to the opinions expressed in the screening results and a summary of the state of the screening, is planned to be issued.

(2) Research Categories Other than Specially Promoted Research

- 1) The results of the selection based on interviews on the proposed project for “Scientific Research (S)” will be notified to the research institution in writing (planned for March).
- 2) The results of the examination performed by the screening panels will be notified to the research institution in writing (planned for early April. for “Scientific Research (A/B/C)”, “Challenging Exploratory Research”, “Grant-in-Aid for Young Scientists (A/B)”, and for late May for “Scientific Research (S)” and “Grant-in-Aid for Young Scientists (S)”).
- 3) If researchers who applied for “Scientific Research”, “Challenging Exploratory Research” or “Grant-in-Aid for Young Scientists (A/B)”, and whose applications have not been accepted, wish to have the results of the first stage of the screening disclosed (document-based screening), the approximate ranking per research field (area) and the score (average score) and the “standard-format opinion” given by the judges of the screening committee for each element which is taken into account when rating will be disclosed through the electronic application system.

(Reference 2) Procedures on the Handling of Grants-in-Aid for Scientific Research

(March 30, 1965)
Announcement of the MEXT No. 110

Revision: Bunkoku No. 309 of 1968, Bunkoku No. 159 of 1981, Bunkoku No. 127 of 1985, Bunkoku No. 156 of 1986, Bunkoku No. 35 of 1998, Bunkoku No. 114 of 1999, Bunkoku No. 181 of 2000, Bunkoku No. 72 of 2001, Bunkoku No. 133 of 2001, Bunkoku No. 123 of 2002, Bunkoku No. 149 of 2003, Bunkoku No. 68 of 2004, Bunkoku No. 134 of 2004, Bunkoku No. 1 of 2005, Bunkoku No. 37 of 2006, Bunkoku No. 45 of 2007, and Bunkoku No. 64 of 2008.

Procedures on the Handling of Grants-in-Aid for Scientific Research are stipulated as follows.

Procedures on the Handling of Grants-in-Aid for Scientific Research

(Purpose)

Article 1 The handling of Grants-in-Aid for Scientific Research should comply with the Law Concerning the Optimization of Budgets for Subsidiaries (No. 179, 1955, hereinafter “the Law”) and the ordinance for the enactment of the Law Concerning the Optimization of Budgets for Subsidiaries (No. 255, 1955) and with the elements stipulated in these rules.

(Definitions)

Article 2 In these rules, a “Research Institution” is an institution in which academic research is conducted. The items listed below fall under the definition of “Research Institution”.

- (1) Universities or inter-university research institutions (including corporations that run such organizations and are designated by the Minister of Education, Culture, Sports, Science and Technology, as required by elements stipulated separately)
- (2) MEXT’s facilities and other organizations engaged in scientific research
- (3) Technical colleges
- (4) Laboratories and other institutions run by the national or local government, corporations based on a special law, laboratories run by such corporations or corporations based on Article 34 of the Civil Law (No. 89, 1996), that the Minister of Education, Culture, Sports, Science and Technology designates for scientific research, as required by elements stipulated separately.

2. In these rules, the “Principal Investigator” is the researcher who bears the responsibility for the implementation of the project in question as a member of that project that is the object of funding of a grant-in-aid for scientific research, as stipulated in article 2 clause 3 of the Law.
3. In these rules, the “Co-Investigator” (*kenkyū-buntansha*) is a researcher who conducts the project in question in cooperation with the Principal Investigator as a member of that project that is the object of funding of a grant-in-aid for scientific research and in which two or more researchers jointly conduct one research project.
4. In these rules, the “Co-Investigator” (*renkei-kenkyūsha*) is a researcher who participates to research that is a project that is the object of funding of a grant-in-aid for scientific research, in cooperation with the Principal Investigator or the Co-Investigator(s) (*kenkyū-buntansha*), and under the supervision of the Principal Investigator or the Co-Investigator(s) (*kenkyū-buntansha*).
5. In these rules, a “Research Collaborator” is a person, other than the Principal Investigator, the Co-Investigator(s) (*kenkyū-buntansha*) or the Co-Investigator(s) (*renkei-kenkyūsha*), who collaborates in research that is a project that is the object of funding of a grant-in-aid for scientific research.
6. In these rules, “illicit use” is use of the grant-in-aid for scientific research for other purposes, intentionally or by gross negligence, or use that violates the content of the decision to fund the grant-in-aid for scientific research, or the conditions it implies.
7. In these rules, “illicit activities” are forgery, manipulation or plagiarism of data, information or survey results that are appearing in published research results within a project that is the object of funding of a grant-in-aid for scientific research.
8. Among the institutions to which belong people who engage in research and who contribute to the promotion of science, the research laboratories and other institutions or corporations mainly engaging in research (that are established by a corporation or another legal person that is set up according to the laws and ordinances of Japan) are considered as “research institutions”, as mentioned in this clause, if they are designated by the Minister of Education, Culture, Sports, Science and Technology, as required by elements stipulated separately.

(The objects of Grants-in-Aid for Scientific Research)

Article 3 Grants-in-Aid for Scientific Research shall mean funding for projects listed under each of the following points.

- (1) Basic research activities that are scientifically important and are conducted by a researcher either individually or in as a team of two or more researchers on the same project. This research may also include practical research that is in an elementary stage.
- (2) Results of scientific research made public by an individual or a scientific organization

(hereinafter “publication of research results”)

- (3) Other projects concerning academic research, as stipulated separately by the Minister of Education, Culture, Sports, Science and Technology.
2. Based on the rules in Article 15, Number 1 of the Law on the Japan Society for the Promotion of Science (Law No. 159 of 2002), the Minister of Education, Culture, Sports, Science and Technology provides Grants-in-Aid for Scientific Research to projects conducted by the Japan Society for the Promotion of Science (hereinafter called “JSPS”), as required by elements stipulated separately.

(Projects for which no Grants-in-Aid for Scientific Research will be provided)

Article 4 Notwithstanding of the previous article, no Grants-in-Aid for Scientific Research will be funded for a period stipulated in each of the following numbered points for projects that are conducted by persons (including academic societies, and this also applies for the articles mentioned below) who are mentioned in the following numbered points. However, this does not apply to projects other than projects of which the decision to provide the funding of grants-in-aid for scientific research has been cancelled (hereinafter “project subject to grant cancellation”), according to Clause 1, Article 17 of the Law, for which persons mentioned in number 4 receive funding, and to projects that are conducted based on a plan identical to the proposal for grant-in-aid mentioned in Clause 1 and Clause 3, Article 6.

- (1) A person who made fraudulent use of a grant-in-aid for scientific research in a project subject to grant cancellation: from 2 to 5 years starting from the next fiscal year following the fiscal year in which that person has been ordered to refund the grant-in-aid for scientific research related to a project subject to grant cancellation, in accordance with Clause 1, Article 18 of the Law. The exact length of the period deemed appropriate (between 2 and 5 years) will be decided, taking into consideration the content of the fraudulent use in question and other factors.
- (2) A person who conspired with a person as mentioned in the previous point in fraudulent use of a grant-in-aid for scientific research: the same period as the period during which no grant will be funded for the project conducted by the person mentioned in the previous point, in accordance with the rule in the previous point.
- (3) A member of a project subject to grant cancellation who used a grant-in-aid for scientific research in violation of Clause 1, Article 11 of the Law: 2 years starting from the next fiscal year following the fiscal year in which that member has been ordered to refund the grant-in-aid for scientific research related to a project subject to grant cancellation. (This does not apply to persons mentioned in the previous point 2.)
- (4) A Principal Investigator or a Co-Investigator (*kenkyū-buntansha*) who conducted a project

subject to grant cancellation in cooperation with a Principal Investigator or a Co-Investigator (*kenkyū-buntansha*) who falls under point 1. or 3. (except persons mentioned under the previous point; the same applies to the points below), or a Principal Investigator or a Co-Investigator (*kenkyū-buntansha*) of a project subject to grant cancellation in which a Co-Investigator (*renkei-kenkyūsha*) who falls under point 1. participated, or a Principal Investigator or a Co-Investigator (*kenkyū-buntansha*) of a project subject to grant cancellation in which a Research Collaborator who falls under the same point 1. cooperated: 1 year following the fiscal year in which he/she has been ordered to refund the grant-in-aid for scientific research related to a project subject to grant cancellation, in accordance with Clause 1, Article 18 of the Law.

- (5) A person who obtained funding by a grant-in-aid for scientific research by deceit or other fraudulent means, or a person who conspired in this deceit or other fraudulent means: 5 years starting from the next fiscal year following the fiscal year in which that person has been ordered to refund the grant-in-aid for scientific research.
 - (6) A person of whom it has been established that he/she committed fraudulent acts (including cases where it has been established that the person bears responsibility for the content of a research paper that is connected with to research results of which it has been established that fraudulent acts have been committed): from 1 to 10 years starting from the next fiscal year following the fiscal year in which is has been established that the fraudulent acts in question have been committed. The exact length of the period deemed appropriate (between 1 and 10 years) will be decided in the Academic Deliberation Council for Science and Technology, taking into consideration the content of the fraudulent acts in question and other elements.
2. Notwithstanding the previous article, no Grants-in-Aid for Scientific Research will be provided during a period stipulated separately by the Minister of Education, Culture, Sports, Science and Technology for projects conducted by persons who are listed under each of the following points, and of whom it has been decided that no benefit that is provided by the state or by independent administrative legal entities, as stipulated separately by the Minister of Education, Culture, Sports, Science and Technology (hereinafter called “particular benefit”), will be provided for a certain period.
- (1) a person who used a particular benefit for other purposes than the one is intended for, or a person who conspired in use for other purposes in question.
 - (2) for a project that is the object of funding of a particular benefit, a person who violated the content of the decision to fund him/her a particular benefit, the conditions connected to that funding and other laws and ordinances, or the punishment based on these laws and ordinances by the head of an independent administrative legal entity or a national institution.
 - (3) a person who obtained the funding a particular benefit by deceit or other fraudulent means,

or a person conspired in its use by deceit or other fraudulent means.

- (4) a person of whom it has been established that he/she committed fraudulent acts in a project funded with a particular benefit.

(Applicants for a Grant)

Article 5 The following persons can apply for Grants-in-Aid for Scientific Research mentioned in Numbers 1 and 2, Clause 1, Article 3 (excluding grants mentioned in Clause 2 of the same article; hereinafter called “grant”).

- (1) The representative of the researchers who conduct scientific research funded with grants for scientific research.
- (2) An individual who publishes research results or the representative of an academic society that publishes such results funded with grants for the publication of research results.

(Proposal for grant-in-aid)

Article 6 Persons who attempt to apply for grants (excluding persons who conduct screening and evaluation in JSPS) shall mean persons who beforehand submit a Proposal for Grant-in-Aid on the scientific research or the publication of research results, in a form that is stipulated separately, to the Minister of Education, Culture, Sports, Science and Technology.

- 2 The submission deadline for the Proposal for Grant-in-Aid mentioned in the previous section is announced every year by the Minister of Education, Culture, Sports, Science and Technology.
- 3 Persons who attempt to apply for grants, although they conduct screening and evaluation in JSPS, shall mean persons who submit Proposals for Grant-in-Aid concerning their scientific research and other matters to JSPS, as required by elements stipulated separately.
- 4 The deadline for the abovementioned submission of a proposal for grant-in-aid is announced by JSPS every year.

(Decisions concerning the grants)

Article 7 The Minister of Education, Culture, Sports, Science and Technology decides on the persons who attempt to obtain grants and on the planned amount that they attempt to obtain (hereinafter called the “amount planned to be provided”), based on the Proposal for Grant-in-Aid mentioned in Clause 1 and 3 of the previous article, and beforehand notifies the amount planned to be provided to this person.

- 2 When deciding on the persons who attempt to obtain grants and the amount planned to be provided, the Minister of Education, Culture, Sports, Science and Technology hears the opinion of the Academic Deliberation Council for Science and Technology concerning the Proposals for Grant-in-Aid that have been submitted to the Minister of Education, Culture, Sports, Science

and Technology. However, in accordance with the provisions of Clause 3 of the previous article, concerning Proposals for Grant-in-Aid that have been submitted to JSPS, receiving a report from JSPS is sufficient, and it is not necessary to hear the opinion of the Academic Deliberation Council for Science and Technology.

Article 8 When persons who received the notification mentioned in Clause 1 of the previous article attempt to apply for grants, they have to submit a grant application form of which the form has been stipulated separately to the Minister of Education, Culture, Sports, Science and Technology, by the time to be prescribed by the Minister of Education, Culture, Sports, Science and Technology.

2 Based on the grant application form mentioned in the previous clause, the Minister of Education, Culture, Sports, Science and Technology decides on the provision of the grant, and notifies the contents of this decision and, in case conditions have been attached to it, these conditions to the person who applied for a grant.

(Changes in the scientific research and other matters)

Article 9 When recipients of a grant attempt to change the contents of the scientific research and other matters or the allocation of the budget (excluding minor changes stipulated separately by the Minister of Education, Culture, Sports, Science and Technology), they should beforehand obtain the approval of the Minister of Education, Culture, Sports, Science and Technology.

(Limitation on the use of the grant)

Article 10 The recipients of a grant should restrict the use of the grant to the costs necessary for the scientific research etc.

(Report on results)

Article 11 Upon completing scientific research etc., the recipients of the grant should promptly fill in and submit the form for reporting the results to the Minister of Education, Culture, Sports, Science and Technology. This also applies where the fiscal year concerning the decision concerning the relevant grant has terminated. The form for the report is available elsewhere.

2 In case there is equipment, furnishings or books (hereinafter called “equipment”) that has been purchased using the grant, a detailed statement on the purchase of equipment and other matters should be attached to the report on results mentioned in the previous clause, using a form stipulated separately.

3 A report on results mentioned in the latter part of the clause 1 should be attached with a document specifying a plan on the scientific research etc. scheduled for the fiscal year that follows.

(Final decision concerning the amount of the grant)

Article 12 After receiving the report mentioned in the early part of Clause 1 in the previous article, the Minister of Education, Culture, Sports, Science and Technology checks the report and conducts an investigation, as necessary. If JSPS concludes that the result of the scientific research etc. agrees with the decision concerning the grant and conditions included in it, JSPS may decide the amount of the grant and report it to the relevant recipient.

(Arrangement and storage of accounts and other matters)

Article 13 Recipients of a grant should retain the accounts on the balance of the grant, retain the receipts and other related documents, and store these accounts and documents for five years after the end of the fiscal year in which the grant has been provided.

(Investigation on accounting)

Article 14 When deemed necessary, the Minister of Education, Culture, Sports, Science and Technology may investigate or issue directives concerning the grant recipient's accounting or demand that a recipient reports on its accounting.

(Investigation on the state of the research and other matters)

Article 15 When deemed necessary, the Minister of Education, Culture, Sports, Science and Technology may request that a grant recipient files a report on the status of his/her scientific research and other matters, or may investigate the status of his/her scientific research and other matters.

(Publication of progress of research)

Article 16 In printing or publication by other means, the Minister of Education, Culture, Sports, Science and Technology may publish all or part of descriptions in the report of results of scientific research and the report mentioned in the previous article that concern the progress of research.

(Donation of equipment and suchlike)

Article 17 If the recipient of a grant mentioned in (1) of Article 5 partly appropriated the grant to the purchase of equipment etc. the recipient should promptly donate the equipment etc. to one or more of the research institutions that the recipient belongs to.

2 In the event that promptly donating the equipment and other things causes inconvenience to the research, recipients of grants mentioned in (1) of Article 5 are allowed not to donate the equipment in question, until the inconvenience to the research in question is resolved, provided that they obtained the approval of the Minister of Education, Culture, Sports, Science and Technology. This applies notwithstanding the provisions in the previous clause.

Article 18 The Minister of Education, Culture, Sports, Science and Technology decides separately on necessary issues concerning Grants-in-Aid for Scientific Research mentioned in Article 3, Clause 1, Number 3.

(Other)

Article 19 The Minister of Education, Culture, Sports, Science and Technology decides on necessary issues concerning the handling of grants other than the issues that have been stipulated in these rules, as they arise.

Additional Rules

These rules take effect from April 1, 1965.

Additional Rule (Bunkoku 309 of November 30, 1968)

These rules take effect from November 30, 1968).

Additional Rule (Bunkoku 159 of October 15, 1981)

This Announcement will be enforced from the day of its promulgation.

Additional Rule (Bunkoku 127 of November 2, 1985)

This Announcement will be enforced from November 2, 1985, and will take effect for grants after FY1985.

Additional Rule (Bunkoku 156 of December 25, 1986)

This Announcement will be enforced from December 25, 1986, and will take effect for grants after FY1986.

Additional Rule (Bunkoku 35 of March 19, 1998)

This Announcement will be enforced from March 19, 1998, and will take effect for grants after FY1998.

Additional Rule (Bunkoku 114 of May 17, 1999)

This Announcement will be enforced from the day of its promulgation and will take effect from April 11, 1999.

Additional Rule (Bunkoku 181 of December 11, 2000)

This Announcement will be enforced from the day (January 6, 2001) of the enforcement of the Law Revising a Part of the Cabinet Act (Law No. 88 of 1999).

Additional Rule (Bunkoku 72 of April 19, 2001)

This Announcement will be enforced from the day of its promulgation and will take effect from April 19, 2001.

Additional Rule (Bunkoku 133 of August 2, 2001)

1 This Announcement will be enforced from the day of its promulgation.

- 2 Legal entities that, at the time of the enforcement of this announcement, are actually research institutions according to the rules in Article 2, Number 3 of the Rules for the Handling of Grants-in-Aid for Scientific Research before the revision, and institutions that, at the time of the enforcement of this announcement, actually received the designation according to the rules in Number 4 of the same article, will be considered as research institutions that received the designation according to the rules in Article 2, Number 4 of the revised Rules for the Handling of Grants-in-Aid for Scientific Research.

Additional Rule (Bunkoku 123 of June 28, 2002)

This Announcement will be enforced from the day of its promulgation and will take effect for grants after FY2002.

Additional Rule (Bunkoku 149 of September 12, 2003)

- 1 However, the revised rules in Article 3, Clause 2, the revised rules in Article 5, Clause 1, Clause 3 and Clause 4, and the revised rules in Article 6, Clause 2 will be enforced from October 1, 2003.
- 2 The rules in Article 3, Clause 3 of the revised Rules for the Handling of Grants-in-Aid for Scientific Research, that are stipulated in this Announcement, will not apply for projects conducted by researchers who in the past conducted a project subject to grant cancellation of which the day when the refunding of the Grant-in-Aid for Scientific Research is ordered falls before the day of the enforcement of this Announcement.

Additional Rule (Bunkoku 68 of April 1, 2004)

- 1 This Announcement will be enforced from April 1, 2004.
- 2 The rules in Article 3, Clause 3, Number 3 of the revised Rules for the Handling of Grants-in-Aid for Scientific Research, that are stipulated in this Announcement, will not apply to researchers who conducted a project subject to grant cancellation, using a Grant-in-Aid for Scientific Research of which the decision to fund was made before the enforcement of this Announcement.

Additional Rule (Bunkoku 1 of January 24, 2005)

- 1 This Announcement will be enforced from the day of its promulgation.
- 2 The rules in Article 3, Clause 4 and Clause 5 of the revised Rules for the Handling of Grants-in-Aid for Scientific Research, that are stipulated in this Announcement, will not apply to projects conducted by researchers who conducted a project of which the day when the refunding of the Grant-in-Aid for Scientific Research is ordered falls before the day of the enforcement of this Announcement, or researchers who conspired with these researchers in question.

Additional Rule (Bunkoku 37 of March 27, 2006)

This Announcement will be enforced from April 1, 2006.

Additional Rule (Bunkoku 45 of March 30, 2007)

This Announcement will be enforced from April 1, 2007.

Additional Rule (Bunkoku 64 of May 19, 2008)

- 1 This Announcement will take effect from May 19, 2008, and will take effect for grants after FY2008. However, the revised rules in Article 2, Clause 1, Number 4 take effect from the day of the enforcement of the Law on the Adjustment of Related Laws Upon the Enforcement of the Law on General Corporate Juridical Persons and General Foundational Juridical Persons, and the Law on the Authorization of Public Interest Incorporated Associations and Public Interest Incorporated Foundations (Law No. 50 of 2006).
- 2 The rules in Article 4, Clause 1, Number 1 and Number 3 of the revised Rules for the Handling of Grants-in-Aid for Scientific Research (hereinafter called “New Rules”), stipulated in this Announcement, do not apply to persons who committed illicit use of grants in projects of which the decision to fund the Grant-in-Aid for Scientific Research has been cancelled, in accordance with the rules in Article 17, Clause 1 of the Law Concerning the Optimization of the Enforcement of Budgets for Grants (Law No. 179 of 1955; hereinafter called “the Law”), and of which the day when the refunding of the Grant-in-Aid for Scientific Research is ordered falls before September 12, 2003, in accordance with the rules in Article 18, Clause 1 of the Law. The rules in Article 4, Clause 1, Number 1 and Number 3 of the New Rules do not apply either to recipients of funded projects who conducted use of Grants-in-Aid for Scientific Research in violation of the rules in Article 11, Clause 1 of the Law (excluding persons who are defined as recipients of funded projects according to the Article 2, Clause 3 of the Law and who fall under Article 4, Clause 1, Number 1 or Number 2 of the New Rules).
- 3 The rules in Article 4, Clause 1, Number 4 of the New Rules do not apply to Principal Investigators or Co-Investigators (*kenkyū-buntansha*) of projects of which the decision to fund has been taken before April 1, 2004.
- 4 The rules in Article 4, Clause 1, Number 2 and Number 5 of the New Rules do not apply to persons who conspired in the fraudulent use of Grants-in-Aid for Scientific Research, or persons who received the funding of Grants-in-Aid for Scientific Research by deceit or other fraudulent means, or persons who conspired in the use of deceit or other fraudulent means in question, in projects of which the day when the refunding of the Grant-in-Aid for Scientific Research is ordered falls before January 24, 2005.

(Reference 3) Procedures on the Handling of JSPS Grants-in-Aid for Scientific Research (KAKENHI (Series of Single-year Grants))

(Rule No. 17, October 7, 2003)

Revision: Rule No. 9, April 14, 2004
Revision: Rule No. 14, September 10, 2004
Revision: Rule No. 1, February 2, 2005
Revision: Rule No. 7, April 7, 2005
Revision: Rule No. 9, April 14, 2006
Revision: Rule No. 12, April 2, 2007
Revision: Rule No. 9, June 10, 2008
Revision: Rule No. 6, April 19, 2010
Revision: Rule No. 21, September 7, 2010
Revision: Rule No. 18, April 25, 2011
Revision: Rule No. 20, April 28, 2011

(General rules)

Article 1 The handling of Grants-in-Aid for Scientific Research (KAKENHI (Series of Single-year Grants)), hereinafter “grants”) provided by the Japan Society for the Promotion of Science (hereinafter “JSPS”) should comply with the Law Concerning the Optimization of Budgets for Subsidiaries (No. 179, 1955, hereinafter “the Law”), the ordinance for the enactment of the Law Concerning the Optimization of Budgets for Subsidiaries (No. 255, 1955), Japan Society for the Promotion of Science Act (No. 159, 2002) and the handling rules for the Grants-in-Aid for Scientific Research (notification by Ministry of Education, No. 110, 1965, hereinafter “Handling Rules”) and the Procedures on the Handling of JSPS Grants-in-Aid for Scientific Research (KAKENHI (Series of Single-year Grants)) (hereinafter “Handling Procedures”).

(Objectives)

Article 2 The aim of the Handling Procedures is to specify items for handling the object, application, granting and suchlike concerning a grant provided by JSPS to researchers so that the grant can be appropriately and efficiently used in compliance with Clause 1, Article 16 of the Requirements for Grants-in-Aid for Scientific Research (scientific research etc.) (decision by the Minister of Education, April 12, 1999, hereinafter “Grant Requirements”) and Article 14 of Japan Society for the Promotion of Science Work Procedures (Rule No. 1, 2003).

(Definitions)

Article 3 In the Handling Procedures, Grants-in-Aid for Scientific Research (Scientific Research etc.) refers to the following items as specified in Article 3 of the Grant Requirements.

- (1) The cost of scientific research that concerns:
 - a) Specially Promoted Research
 - b) Scientific Research;
 - c) Challenging Exploratory Research;
 - d) Young Scientists ;
 - e) Research Activity Start-up; or
 - f) Encouragement of Scientists
 - (2) Grant-in-Aid for JSPS Fellows
 - (3) Grant-in-Aid for Creative Scientific Research
 - (4) Grant-in-Aid for Publication of Scientific Research Results (except those concerning the publication of research results)
2. In these Handling Procedures, a “research institution” refers to an institution as stipulated in Clause 1, Article 2 of the Handling Rules and to an institution in accordance with Clause 8 of the same Article. A research institution is an institution in which academic research is conducted and which falls under any of the definitions mentioned under points 1 to 4 and under point 5.
- (1) Universities or inter-university research institutions (including corporations that run such organizations and are designated by the Minister of Education, Culture, Sports, Science and Technology)
 - (2) MEXT’s facilities and other organizations engaged in scientific research
 - (3) Technical colleges
 - (4) Laboratories and other institutions run by the national or local government, corporations based on a special law, laboratories run by such corporations or corporations based on Article 34 of the Civil Law (No. 89, 1996), that the Minister of Education, Culture, Sports, Science and Technology designates for scientific research
 - (5) Among the institutions to which belong people who engage in research and who contribute to the promotion of science, the research laboratories and other institutions or corporations mainly engaging in research (that are established by a corporation or another legal person that is set up according to the laws and ordinances of Japan) are considered as “research institutions”, as mentioned in this clause, if they are designated by the Minister of Education, Culture, Sports, Science and Technology.
3. In these Handling Procedures the “Principal Investigator” is the researcher who bears the responsibility for the implementation of the project in question as a member of that project that

is the object of funding of a grant-in-aid for scientific research, as stipulated in article 2 clause 3 of the Law.

4. In these Handling Procedures the “Co-Investigator” (*kenkyū-buntansha*) is a researcher who conducts the project in question in cooperation with the Principal Investigator as a member of that project that is the object of funding of a grant-in-aid for scientific research and in which two or more researchers jointly conduct one research project.
5. In these Handling Procedures the “Co-Investigator” (*renkei-kenkyūsha*) is a researcher who participates to research that is a project that is the object of funding of a grant-in-aid for scientific research, in cooperation with the Principal Investigator or the Co-Investigator(s) (*kenkyū-buntansha*), and under the supervision of the Principal Investigator or the Co-Investigator(s) (*kenkyū-buntansha*).
6. In these Handling Procedures a “Research Collaborator” is a person, other than the Principal Investigator, the Co-Investigator(s) (*kenkyū-buntansha*) or the Co-Investigator(s) (*renkei-kenkyūsha*), who collaborates in research that is a project that is the object of funding of a grant-in-aid for scientific research.
7. In these Handling Procedures “illicit use” is use of the grant-in-aid for scientific research for other purposes, intentionally or by gross negligence, or use that violates the content of the decision to fund the grant-in-aid for scientific research, or the conditions it implies.
8. In these Handling Procedures “illicit activities” are forgery, manipulation or plagiarism of data, information or survey results that are appearing in published research results within a project that is the object of funding of a grant-in-aid for scientific research.

(The objects of grants)

Article 4 Projects that are object of funding (hereinafter “funded project(s)”) with grants should meet the following conditions.

- (1) Basic research activities that are scientifically important and are conducted by a researcher either individually or in as a team of two or more researchers on the same project. This research may also include practical research that is in an elementary stage.
 - (2) Results of scientific research made public by an individual or a scientific organization (hereinafter “publication of research results”)
2. The funded costs should be those necessary for a funded project and deemed by JSPS as deserving of a grant.

(Projects for which no grants will be provided)

Article 5 Notwithstanding Clause 1 of the previous article, no grant will be funded for a period stipulated in each of the following numbered points for projects that are conducted by persons

(including academic societies, and this also applies for the articles mentioned below) who are mentioned in the following numbered points. However, this does not apply to projects other than projects of which the decision to provide the funding of grants-in-aid for scientific research has been cancelled (hereinafter “project subject to grant cancellation”), according to Clause 1, Article 17 of the Law, for which persons mentioned in number 4 receive funding, and to projects that are conducted based on a plan identical to the proposal for grant-in-aid mentioned in Clause 1, Article 7.

1. A person who made fraudulent use of a grant-in-aid for scientific research in a project subject to grant cancellation:
from 2 to 5 years starting from the next fiscal year following the fiscal year in which that person has been ordered to refund the grant-in-aid for scientific research related to a project subject to grant cancellation, in accordance with Clause 1, Article 18 of the Law. The exact length of the period deemed appropriate (between 2 and 5 years) will be decided, taking into consideration the content of the fraudulent use in question and other factors.
2. A person who conspired with a person as mentioned in the previous point in fraudulent use of a grant-in-aid for scientific research:
the same period as the period during which no grant will be funded for the project conducted by the person mentioned in the previous point, in accordance with the rule in the previous point.
3. A member of a project subject to grant cancellation who used a grant-in-aid for scientific research in violation of Clause 1, Article 11 of the Law:
2 years starting from the next fiscal year following the fiscal year in which that member has been ordered to refund the grant-in-aid for scientific research related to a project subject to grant cancellation. (This does not apply to persons mentioned in the previous point 2.)
4. A Principal Investigator or a Co-Investigator (*kenkyū-buntansha*) who conducted a project subject to grant cancellation in cooperation with a Principal Investigator or a Co-Investigator (*kenkyū-buntansha*) who falls under point 1. or 3. (except persons mentioned under the previous point; the same applies to the points below), or a Principal Investigator or a Co-Investigator (*kenkyū-buntansha*) of a project subject to grant cancellation in which a Co-Investigator (*renkei-kenkyūsha*) who falls under point 1. participated, or a Principal Investigator or a Co-Investigator (*kenkyū-buntansha*) of a project subject to grant cancellation in which a Research Collaborator who falls under the same point 1. cooperated:
1 year following the fiscal year in which he/she has been ordered to refund the grant-in-aid for scientific research related to a project subject to grant cancellation, in accordance with Clause 1, Article 18 of the Law.
5. A person who obtained funding by a grant-in-aid for scientific research by deceit or other

fraudulent means, or a person who conspired in this deceit or other fraudulent means:

5 years starting from the next fiscal year following the fiscal year in which that person has been ordered to refund the grant-in-aid for scientific research.

6. A person of whom it has been established that he/she committed fraudulent acts (including cases where it has been established that the person bears responsibility for the content of a research paper that is connected to research results of which it has been established that fraudulent acts have been committed): from 1 to 10 years starting from the next fiscal year following the fiscal year in which it has been established that the fraudulent acts in question have been committed. The exact length of the period deemed appropriate (between 1 and 10 years) will be decided, taking into consideration the content of the fraudulent acts in question and other elements.
2. Notwithstanding the provision of Clause 1 of the previous Article, no KAKENHI (Series of Single-year Grants) will be awarded for a period during which it has been decided that no funding provided from the KAKENHI Multi-year Fund will be awarded for projects that are conducted by persons of whom it has been decided that no funding provided from the KAKENHI Multi-year Fund (hereinafter “KAKENHI (Multi-year Fund)”) in accordance with the provision of Clause 1, Article 18 of the Japan Society for the Promotion of Science Act will be funded for a certain period and who are mentioned in each of the following numbered points. However, this does not apply to projects for which persons mentioned in point 4 already receive funding, and to projects conducted based on a plan identical to the proposal for grant-in-aid mentioned in Clause 1, Article 7.
 - (1) Persons who made fraudulent use of a KAKENHI (Multi-year Fund).
 - (2) Persons who conspired in the fraudulent use of a KAKENHI (Multi-year Fund).
 - (3) Members of a funded project who made use of a KAKENHI (Multi-year Fund) in violation of the provision of Clause 1, Article 11 of the Law which will be applied *mutatis mutandis* pursuant to the provision of Clause 2, Article 17 of the Japan Society for the Promotion of Science Act (This does not apply to persons who fall under the previous point 2).
 - (4) Principal Investigators or Co-Investigators (*kenkyū-buntansha*) who conducted a project for which the decision to grant the funding has been cancelled (hereinafter “funded project subject to grant cancellation”) in cooperation with a Principal Investigator or a Co-Investigator (*kenkyū-buntansha*) who falls under points 1 or 3 (This does not apply to persons mentioned under the previous point; the same applies to the points below), or Principal Investigators or Co-Investigators (*kenkyū-buntansha*) of a funded project subject to grant cancellation in which a Co-Investigator (*renkei-kenkyūsha*) who falls under point 1 participated or a funded project subject to grant cancellation in which a Research Collaborator who falls under the same point collaborated.
 - (5) Persons who obtained funding of a KAKENHI (Multi-year Fund) by deceit or other

fraudulent means, or a person who conspired in this deceit or other fraudulent means.

(6) Persons of whom it has been established that they committed fraudulent acts.

3. Notwithstanding Clause 1 of the previous article, a grant will not be granted for a period stipulated in Article 2 of the Decision of the Minister of Education, Culture, Sports, Science and Technology of August 24, 2004 for projects conducted by a person mentioned in each of the following numbered points, about whom it has been decided not to provide him/her a particular benefit for a fixed period, as stipulated in Article 1.

(1) a person who used a particular benefit for other purposes than the one it is intended for, or a person who conspired in use for other purposes in question.

(2) for a project that is the object of funding of a particular benefit, a person who violated the content of the decision to fund him/her a particular benefit, the conditions connected to that funding and other laws and ordinances, or the punishment based on these laws and ordinances by the head of an independent administrative legal entity or a national institution.

(3) a person who obtained the funding a particular benefit by deceit or other fraudulent means, or a person conspired in its use by deceit or other fraudulent means.

(4) a person of whom it has been established that he/she committed fraudulent acts in a project funded with a particular benefit.

(Applicants for a Grant)

Article 6 Persons are eligible to apply for a grant mentioned in Clause 1, Article 4, should meet the following requirements.

(1) Applicants for a grant concerning scientific research should fall into the following categories:

a) If researchers who belong to a research institution conduct scientific research, the representative of the researchers who conduct the scientific research in question;

b) If one researcher (excluding JSPS Fellows) who does not belong to a research conducts scientific research alone, that researcher in question;

c) If a JSPS Fellow conducts scientific research, that JSPS Fellow in question;

d) If a Foreign JSPS Fellow and a host researcher jointly conduct scientific research, the host researcher

(2) An individual who publishes research results or the representative of an academic society that publishes such results funded with grants for the publication of research results.

(Proposal for grant-in-aid)

Article 7 An application for a grant requires that a proposal for grant-in-aid on scientific research or the publication of research results (hereinafter “scientific research etc.”) be submitted to JSPS. The form for the proposal for grant-in-aid is available.

2. The deadline for the abovementioned submission of a proposal for grant-in-aid is announced by JSPS every year.

(Notification of the planned amount of grant)

Article 8 In accordance with a proposal for grant-in-aid mentioned in Clause 1 of the previous article, JSPS should decide the recipient of a grant and the planned amount of money given to the recipient (hereinafter “planned amount of grant”) and report the amount to the recipient in advance.

(Allocation of the screening and other matters)

Article 9 When making decisions concerning the recipient of a grant or the planned amount of a grant in accordance with the previous article, JSPS should consult the Grants-in-Aid for Scientific Research Committee to discuss issues concerning the allocation of grants and suchlike.

2. Rules on the organization and operation of the abovementioned committee are stated elsewhere.

(Grant application form)

Article 10 When filing an application for a grant, an applicant who received a notification mentioned in Article 8 should fill in and submit the grant application form to JSPS by the deadline specified by JSPS.

(Decisions concerning the grants)

Article 11 Upon receiving a request for a grant in accordance with the previous article, JSPS should check documents concerning the request and conduct field survey or suchlike necessary, to make sure that the project deserves the grant and the calculation of the amount of the grant is not erroneous.

2. If JSPS considers that a grant should be given as a result of the abovementioned survey, it should promptly decide on providing the grant.
3. JSPS stipulates the following requirements for providing a grant.
 - (1)A change in details and cost allocation of scientific research etc. conducted by a grant recipient requires that the approval of JSPS be obtained in advance.

However, this may not apply to a minor change that is decided by JSPS in consultation with the Minister of Education, Culture, Sports, Science and Technology without compromising the objective of the funded project.

- (2) Grant recipients should obtain the approval of JSPS in stopping or discontinuing a funded project.
 - (3) If a funded project cannot be completed within the scheduled period or if the fulfillment of a funded project seems too difficult, the grant recipient should promptly report it to JSPS and follow its directions.
 - (4) To sign a contract to fulfill a funded project and make the relevant payments, the grant recipient should, in compliance with the national contract and the provisions concerning payment, endeavor to maintain the high level of efficiency in the use of costs so that minimum and equitable costs can result in maximum benefit.
4. After making a decision concerning a grant, JSPS should promptly report details of the decision and the conditions it includes to the relevant applicant.

(Withdrawal of the application)

Article 12 An applicant for a grant may withdraw the application by the date specified by JSPS if the applicant receives the notification mentioned in Clause 4 of the previous article and if the applicant is dissatisfied with the details of the decision on a grant concerning the notification or conditions included in the decision.

2. Withdrawal of an application in accordance with the abovementioned provisions is considered that no decision on a grant to the relevant application has been made.

(Limitation on the use of the grant)

Article 13 The recipients of a grant should restrict the use of the grant to the costs necessary for the scientific research etc.

(Report on results)

Article 14 Upon completing scientific research etc., the recipients of the grant should promptly fill in and submit the form for reporting the results to JSPS. This also applies where the fiscal year concerning the decision concerning the relevant grant has terminated. The form for the report is available elsewhere.

2. A report on results mentioned in the latter part of the previous clause should be attached with a document specifying a plan on the scientific research etc. scheduled for the fiscal year that follows.

(Final decision concerning the amount of the grant)

Article 15 After receiving the report mentioned in the early part of Clause 1 in the previous article, JSPS checks the report and conducts an investigation, as necessary. If JSPS concludes that the

result of the scientific research etc. agrees with the decision concerning the grant and conditions included in it, JSPS may decide the amount of the grant and report it to the relevant recipient.

(Accounting Records and other documents)

Article 16 Recipients of a grant should retain the accounts on the balance of the grant and retain the receipts and other related documents for five years after the end of the fiscal year in which the grant has been provided.

2. If persons who did not submit the report on the research achievements by the time prescribed by JSPS in the previous Clause do not submit the report on the research achievements without particular reason by the time separately and additionally instructed by JSPS, JSPS will, notwithstanding the provisions of Article 8, not notify these persons of the amount planned to be provided. This also applies to persons who do not submit the report on the research achievements for KAKENHI (Series of Single-year Grants) mentioned in Clause 1, Article 13 of the Handling Rules, or the report on the research achievements for KAKENHI (Multi-year Fund) mentioned in Clause 1, Article 16 of the Procedures on the Handling of JSPS Grants-in-Aid for Scientific Research (KAKENHI (Multi-year Fund)), by the time instructed by the Minister of Education, Culture, Sports, Science and Technology or JSPS.
3. When persons about whom it has been decided not to notify the amount planned to be provided in accordance with the provisions of the previous Clause submit the report on the research achievements by the time instructed by JSPS of the Minister of Education, Culture, Sports, Science and Technology, JSPS will notify the amount planned to be provided afterwards, based on the provisions of Article 8.

(Investigation on accounting)

Article 17 When deemed necessary, JSPS may investigate or issue directives concerning the grant recipient's accounting or demand that a recipient reports on its accounting.

(Investigation on the state of the research and other matters)

Article 18 When deemed necessary, JSPS may demand that a grant recipient files a report on the status of its scientific research etc. and may also conduct an on-site investigation.

(Publication of progress of research)

Article 19 In printing or publication by other means, JSPS may publish all or part of descriptions in the report of results of scientific research and the report mentioned in the previous article that concern the progress of research.

(Publication of progress of research and research achievements)

Article 20 JSPS may publish all or part of the portion related to the progress of the research in the report on the results of the scientific research or the report mentioned in the previous Article, in print or other means.

2. JSPS may publish all or part of the report on the research achievements, in print or other means.

(Donation of equipment and suchlike)

Article 21 If the recipient of a grant mentioned in (1) a) of Article 6 partly appropriated the grant to the purchase of equipment etc., the recipient should promptly donate the equipment etc. to one or more of the research institutions that the recipient belongs to.

2. If the recipient of a grant mentioned in (1) b) of Article 6 partly appropriated the grant to the purchase of equipment etc. worth 50,000 yen or more, the recipient should donate the equipment etc. to a school or other educational or research institution no later than the termination of the research period.
3. If the recipient of a grant specified in (1) c) or d) in Article 6, Clause 1 partly appropriated the grant to the purchase of equipment etc. the recipient should promptly donate the equipment etc. to the research institution where he/she engages in research or to which he/she belongs.
4. Where it is deemed inconvenient for a grant recipient to promptly donate the purchased equipment etc. to the research institution, the equipment etc. may not be donated until the time the abovementioned donation is no longer likely to create such inconvenience, provided that JSPS's approval is obtained, notwithstanding the provisions in Clause 1.
5. Notwithstanding Clause 3, a special researcher may keep the purchased equipment etc. until when he/she is no longer qualified as a special researcher.

(Other)

Article 22 In addition to those specified in the Application Procedures, the rules necessary for the handling of grants should be provided elsewhere in the application guidelines and suchlike.

Additional Rules

The rules will be enforced on October 7, 2003 and take effect on October 1, 2003.

The provisions in Article 4-2 do not apply to a funded project that is going to be implemented by a researcher who, before September 12, 2003, was ordered to refund Grants-in-Aid for Scientific Research to his/her project subject to grant cancellation in accordance with Clause 1, Article 18 of the Law.

The JSPS's handling of Grants-in-Aid for Scientific Research before the day the Handling

Procedures take effect in compliance with JSPS Grants-in-Aid for Scientific Research (Scientific Research) Handling Procedures (Rule No. 6, June 9, 1999) is deemed as JSPS's handling of a grant in accordance with the relevant provisions in the Handling Procedures.

Additional Rule (No. 9, 2004)

1. Takes effect on April 1, 2004
2. Provisions in No. 3 of Clause 1, Article 4-2 do not apply to researchers who conducted a project subject to grant cancellation for which the grant was decided before the time the Rules take effect.

Additional Rule (No. 14, 2004)

Takes effect on August 27, 2004

Additional Rule (No. 1, 2005)

1. Takes effect on January 24, 2005
2. Clauses 2 and 3 of Article 4-2 do not apply to projects conducted by a researcher who was ordered to refund Grants-in-Aid for Scientific Research before the day the Rules take effect, or who conspired with such a researcher.

Additional Rule (No. 7, 2005)

Takes effect on April 1, 2005

Additional Rule (No. 9, 2006)

Takes effect on April 1, 2006

Additional Rule (No. 12, 2007)

Takes effect on April 1, 2007

Additional Rule (No. 9, 2008)

1. This rule was set up from June 10, 2008, and takes effect for the grants of FY2008 and later.
2. The rules No. 1 and No. 3 of clause 1, article 5 of the revised Handling Procedures (hereinafter "New Procedures") do not apply to persons who conducted illicit use in projects of which the decision to fund a grant was cancelled, or to project members who used a grant-in-aid for scientific research in a way that violates the rules under clause 1, article 11 of the Law, in projects of which the day when the return of the grant-in-aid for scientific research was ordered fell before September 12, 2003. This is in accordance with the rules of clause 1 of article 18 of

the Law. (This does not apply to the persons mentioned in No. 1 or No. 2, clause 1, article 5 of the New Procedures.)

3. The rule No. 4, clause 1, article 5 of the New Procedures does not apply to the Principal Investigator or the Co-Investigator(s) (*kenkyū-buntansha*) of projects of which the decision on funding of the grant was taken before April 1, 2004.
4. The rules No. 2 and No. 5, clause 1, article 5 of the New Procedures do not apply to persons who conspired in illicit use of grants-in-aid for scientific research, to persons who obtained a grant-in-aid for scientific research by deceit or by other illicit means, or to persons who conspired in this deceit or other illicit means in question, in projects of which the day when the return of the grant-in-aid for scientific research was ordered fell before January 24, 2005.

Additional Rule (No. 6, 2010)

Takes effect on April 1, 2010.

Additional Rule (No. 21, 2010)

Takes effect on September 7, 2010.

Additional Rule (No. 18, 2011)

Takes effect on April 1, 2011.

Additional Rule (No. 20, 2011)

Takes effect on April 28, 2011.

(Reference 4) Procedures on the Handling of JSPS Grants-in-Aid for Scientific Research (KAKENHI (Multi-year Fund))

(General rules)

Article 1 The handling of Grants-in-Aid for Scientific Research (KAKENHI (Multi-year Fund), hereinafter “grants”) provided by the Japan Society for the Promotion of Science (hereinafter “JSPS”) should comply with the Japan Society for the Promotion of Science Act (No. 159, 2002, hereinafter “JSPS Act”), the Law Concerning the Optimization of Budgets for Subsidiaries (hereinafter “the Law”), which will be applied *mutatis mutandis* pursuant to Clause 2, Article 17 of the JSPS Act, the Ordinance for the Enactment of the Law Concerning the Optimization of Budgets for Subsidiaries (No. 255, 1955), the Basic Policy on the Management of the KAKENHI (Multi-year Fund) (decision by the Minister of Education, Culture, Sports, Science and Technology made on April 28, 2011), and these Procedures on the Handling of JSPS Grants-in-Aid for Scientific Research (KAKENHI (Multi-year Fund)) (hereinafter “Handling Procedures”).

(Objectives)

Article 2 The aim of these Handling Procedures is to specify the details concerning the handling of the eligibility for funding, application, funding and other matters for grants provided by JSPS to researchers, based on the provisions of point 6, Article 7 of the Requirements for Grants-in-Aid for Scientific Research (KAKENHI Multi-year Fund) (decision by the Minister of Education, Culture, Sports, Science and Technology made on April 28, 2011), so that the grant can be appropriately and efficiently implemented.

(Definitions)

Article 3 In these Handling Procedures, a “research institution” refers to an institution as stipulated in Clause 1, Article 2 of the Handling Rules on Grants-in-Aid for Scientific Research (Announcement of the Ministry of Education, 1965, No. 110; hereinafter “Handling Rules”) and to an institution in accordance with Clause 8 of the same Article. A research institution is an institution in which academic research is conducted and which falls under any of the definitions mentioned under points 1 to 4 and under point 5.

- (1) Universities or inter-university research institutions (including corporations that run such organizations and are designated by the Minister of Education, Culture, Sports, Science and Technology)
- (2) MEXT’s facilities and other organizations engaged in scientific research
- (3) Technical colleges

- (4) Research laboratories and other institutions established by the national or local government, corporations established under a special law, laboratories and other institutions established by such corporations, or general incorporated associations or general incorporated foundations that are designated by the Minister of Education, Culture, Sports, Science and Technology for scientific research
- (5) Among the institutions to which belong persons who conduct research and who contribute to the promotion of science, research laboratories and other institutions, or companies and other legal persons (hereinafter in this clause called “companies”) mainly engaging in research that are founded by companies established according to the laws and ordinances of Japan, if they are designated by the Minister of Education, Culture, Sports, Science and Technology. (This does not apply to institutions mentioned under point 1 and the previous point 2.)
2. In these Handling Procedures, the “Principal Investigator” is the researcher who bears the responsibility for the implementation of the project as a member of the project in question that is the object of funding of a grant (hereinafter “member of the funded project”), as stipulated in the provisions of Clause 3, Article 2 of the Law.
 3. In these Handling Procedures, a “Co-Investigator (*kenkyū-buntansha*)” is a researcher who conducts a project in cooperation with the Principal Investigator as a member of the project in question that is the object of funding of a grant and in which two or more researchers jointly conduct one and the same research project.
 4. In these Handling Procedures, a “Co-Investigator (*renkei-kenkyūsha*)” is a researcher who participates in research for a project that is the object of funding of a grant, in cooperation with the Principal Investigator or the Co-Investigator(s) (*kenkyū-buntansha*), and under the supervision of the Principal Investigator or the Co-Investigator(s) (*kenkyū-buntansha*).
 5. In these Handling Procedures, a “Research Collaborator” is a person other than the Principal Investigator, the Co-Investigator(s) (*kenkyū-buntansha*) or the Co-Investigator(s) (*renkei-kenkyūsha*), who collaborates in research that is a project that is the object of funding of a grant.
 6. In these Handling Procedures, “fraudulent use” is use of the grant for other purposes, intentionally or by gross negligence, or use that violates the substantive content of the decision to fund the grant, or any condition it implies.
 7. In these Handling Procedures, “fraudulent acts” are forgery, manipulation or plagiarism of data, information, survey results, etc. that appear in published research results within a project that is the object of funding of a grant.

(Object of funding with grants)

Article 4 Projects that are object of funding with grants are projects that are academically important basic research activities (including applied research that is in an elementary stage) and that are conducted in a research institution by a researcher individually or by two or more researchers as a team on the same research project. The researcher(s) 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 and should actually be engaged in research activities at the research institution in question. (This is limited to projects that are conducted as an activity of the research institution to which the researcher(s) belong and where the management of the grants is carried out in the research institution.)

2. The costs that are the object of funding are the costs necessary for the project that is object to funding of grants (hereinafter “funded project”) and deemed by JSPS as deserving funding.
3. The period of the funded project is the period decided by JSPS. However, persons who obtained funding of the grant can extend the period of the funded project by one year, provided they obtain the approval of JSPS. Moreover, if researchers obtain maternity leave or childcare leave, they can extend the period by more than one year, depending on the period during which the funded project is discontinued, provided they obtain the approval of JSPS.

(Projects for which no grants will be provided)

Article 5 Notwithstanding the provisions of Clause 1 of the previous Article, no grant will be provided for a period stipulated in each of the following numbered points for projects that are conducted by persons who are mentioned in the following numbered points. However, this does not apply to projects other than projects of which the decision to provide the funding of grants has been cancelled (hereinafter “project subject to grant cancellation”), according to the provisions of Clause 1, Article 17 of the Law, for which persons mentioned in number 4 receive funding.

- (1) A person who made fraudulent use of a grant in a project subject to grant cancellation:
from 2 to 5 years starting from the next fiscal year following the fiscal year in which that person has been ordered to refund the grant related to a project subject to grant cancellation, in accordance with the provisions of Clause 1, Article 18 of the Law. The exact length of the period deemed appropriate (between 2 and 5 years) will be decided, taking into consideration the content of the fraudulent use in question and other relevant factors.
- (2) A person who conspired with a person as mentioned in the previous point in fraudulent

use of a grant:

the same period as the period during which no grant will be funded for the project conducted by the person mentioned in the same point, in accordance with the provisions in the previous point.

- (3) A member of a funded project subject to grant cancellation who used a grant in violation of the provisions of Clause 1, Article 11 of the Law:

2 years starting from the next fiscal year following the fiscal year in which that member has been ordered to refund the grant related to a project subject to grant cancellation, in accordance with the provisions of Clause 1, Article 18 of the Law. (This does not apply to persons mentioned in the previous point 2.)

- (4) A Principal Investigator or a Co-Investigator (*kenkyū-buntansha*) who conducted a project subject to grant cancellation in cooperation with a Principal Investigator or a Co-Investigator (*kenkyū-buntansha*) who falls under point 1 or 3 (except persons mentioned under the previous points; the same applies to the points below), or a Principal Investigator or a Co-Investigator (*kenkyū-buntansha*) of a project subject to grant cancellation in which a Co-Investigator (*renkei-kenkyūsha*) who falls under point 1 participated, or a Principal Investigator or a Co-Investigator (*kenkyū-buntansha*) of a project subject to grant cancellation in which a Research Collaborator who falls under the same point 1 cooperated:
- 1 year following the fiscal year in which he/she has been ordered to refund the grant related to a project subject to grant cancellation, in accordance with the provisions of Clause 1, Article 18 of the Law.

- (5) A person who obtained funding of a grant by deceit or other fraudulent means, or a person who conspired in the use of a grant by this deceit or other fraudulent means in question:

5 years starting from the next fiscal year following the fiscal year in which that person has been ordered to refund the grant in question.

- (6) A person of whom it has been established that he/she committed fraudulent acts (including cases where it has been established that the person bears responsibility for the content of a research paper that is connected to the research results of which it has been established that the fraudulent acts in question have been committed; the same applies to the Articles below):

from 1 to 10 years starting from the next fiscal year following the fiscal year in which it has been established that the fraudulent acts in question have been committed. The exact length of the period deemed appropriate (between 1 and 10 years) will be decided, taking into consideration the content of the fraudulent acts in question and other relevant factors.

2. Notwithstanding the provisions of Clause 1 of the previous Article, no grant will be funded for projects that are conducted by persons of whom it has been decided that no KAKENHI

(Series of Single-year Grants) will be funded for a certain period during the corresponding period, in accordance with the provisions of Clause 1, Article 4 of the Handling Rules or Clause 1, Article 5 of the Procedures on the Handling of JSPS Grants-in-Aid for Scientific Research (KAKENHI (Series of Single-year Grants)) (hereinafter “Single-year Grant Handling Procedures”). However, this does not apply to projects for which persons of whom it has been decided that no KAKENHI (Series of Single-year Grants) will be funded, in accordance with the provisions of point 4, Clause 1, Article 4 of the Handling Rules or point 4, Clause 1, Article 5 of the Single-year Grant Handling Procedures, have already obtained funding.

3. Notwithstanding the provisions of Clause 1 of the previous Article, no grant will be funded for a period stipulated in Article 2 of the Decision on Particular Benefits and Other Matters of Clause 3, Article 4 of the Procedures on the Handling of Grants-in-Aid for Scientific Research (decided by the Minister of Education, Culture, Sports, Science and Technology on August 24, 2004; hereinafter “Decision by the Minister of Education”), for projects conducted by persons mentioned in each of the following numbered points, of whom it has been decided not to provide them with a particular benefit for a certain period, as stipulated in Article 1 of the Decision by the Minister of Education.
 - (1) Persons who used the particular benefit for other purposes than the one it is intended for, or a person who conspired in the use for other purposes
 - (2) For a project that is the object of funding of a particular benefit, persons who violated the substantive content of the decision to fund them the particular benefit, any condition connected to the funding, and other laws and ordinances, or the punishment based on these laws and ordinances imposed by the head of a national institution or independent administrative legal entity
 - (3) Persons who obtained funding of a particular benefit by deceit or other fraudulent means, or persons who conspired in this deceit or other fraudulent means
 - (4) Persons of whom it has been established that they committed fraudulent acts in a project funded with a particular benefit

(Applicants for a Grant)

Article 6 Persons who can apply for funding of a grant mentioned in Clause 1, Article 4 are representatives of researchers who conduct the funded project.

(Proposal for grant-in-aid)

Article 7 Persons who wish to apply for funding of a grant need to submit a proposal for grant-in-aid for the project to JSPS in advance, using the form specified.

2. The deadline for the submission of the proposal for grant-in-aid mentioned in the previous Clause is announced by JSPS every year.

(Notification of the amount planned to be provided)

Article 8 Based on the proposal for grant-in-aid mentioned in Clause 1 of the previous Article, JSPS decides to whom to provide a grant and the amount it plans to provide (hereinafter “amount planned to be provided”) and notifies the amount planned to be provided to the recipient in advance.

(Allocation of the screening and other matters)

Article 9 When making decisions to whom to provide a grant and the amount planned to be provided in accordance with the previous Article, JSPS should consult the Grants-in-Aid for Scientific Research Committee to discuss issues concerning the allocation of grants and other matters.

2. The rules on the organization and operation of the Committee mentioned in the previous Clause are stated elsewhere.

(Grant application form)

Article 10 When applying for funding of a grant, applicants who received the notification mentioned in Article 8 should fill in and submit the grant application form to JSPS by the deadline specified by JSPS, using the form specified.

(Decisions concerning grants)

Article 11 Upon receiving an application for funding of a grant in accordance with the previous Article, JSPS will screen the documents concerning the application and conduct field surveys or suchlike as the need arises, to make sure that the project deserves the grant and the calculation of the amount of the grant is not erroneous.

2. If JSPS considers that a grant should be provided, as a result of the investigation mentioned in the previous Clause, it will make a prompt decision.
3. JSPS stipulates the following requirements for providing a grant.
 - (1) When researchers who obtained funding of a grant wish to change the details and cost allocation of the funded project, they should obtain the prior approval from JSPS. However, this does not apply to minor changes that are decided by JSPS in consultation with the Minister of Education, Culture, Sports, Science and Technology without compromising the objective of the funded project.
 - (2) If researchers who obtain funding of a grant cancel or discontinue the funded project,

they should obtain approval from JSPS.

- (3) If researchers who obtain funding of a grant cannot complete a funded project within the scheduled period, or if the implementation of a funded project seems too difficult, they should promptly report this to JSPS and follow any instructions that may be provided.
 - (4) If researchers who obtain funding of a grant conclude a contract in order to implement a funded project and make the relevant payments, they should, in compliance with the national contract and the intent of the provisions concerning payment, endeavor to maintain a high level of efficiency in the use of costs, so that equitable and minimum costs result in maximum benefit.
4. After making a decision concerning the funding of a grant, JSPS will promptly notify the details of the decision and the conditions it implies to the person who applied for the grant.

(Withdrawal of application)

Article 12 If researchers who applied for funding of a grant are dissatisfied with the details of the decision on the funding of the grant mentioned in the notification or any condition implied in this decision, upon receiving this notification in accordance with the provisions of Clause 4 of the previous Article, they may withdraw the application by a date to be decided by JSPS.

2. If the application is withdrawn, in accordance with the provisions of the previous Clause, it is considered that no decision on the funding of the grant related to that application in question has been made.

(Limitations on the use of a grant)

Article 13 Researchers who obtain funding of a grant should restrict the use of the grant to the costs necessary for the funded project.

(Report on the state of implementation)

Article 14 Researchers who obtain funding of a grant should submit a report on the state of implementation which clarifies the state of the implementation of the funded project and the state of the accounting to JSPS within 2 months following the end of each fiscal year, except for the final fiscal year, using the form specified.

2. Through screening of the submitted report on the state of implementation and an investigation conducted as the need arises, JSPS verifies whether the implementation of the research corresponds with the content of the decision on the funding of the grant and any conditions it implies.

(Report on results)

Article 15 Upon completion of the funded project, researchers who obtained funding of a grant should promptly complete and submit a report on results to JSPS, using the form specified.

(Final decision concerning the amount of the grant)

Article 16 After receiving the report on results submitted in accordance with the provisions of the previous Article, JSPS screens this report on results and conducts an investigation, as the need arises. If JSPS has verified that the result of the funded project corresponds with the contents of the decision concerning the funding of the grant and the conditions it implies, JSPS makes a final decision on the amount of the grant that should be provided and notifies this to the relevant recipient. In this case, JSPS may implement aforementioned, after verification of the portion that has been implemented in the relevant fiscal year, except for the final fiscal year of the funded project, based on the content verified in accordance with Clause 2, Article 14.

(Report on research achievements)

Article 17 Researchers who obtained funding of a grant should submit a report on the achievements of the implemented project based on the plan in the proposal for grant-in-aid mentioned in Clause 1, Article 7 (hereinafter “report on the research achievements”) to JSPS by the date decided by JSPS, accordance with the requirements decided by JSPS.

2. If persons who did not submit the report on the research achievements by the time prescribed by JSPS in the previous Clause do not submit the report on the research achievements without particular reason by the time separately and additionally instructed by JSPS, JSPS will, notwithstanding the provisions of Article 8, not notify these persons of the amount planned to be provided. Moreover, if the decision to provide the grant has already been made, the payment of the grant will be retained. This also applies to persons who do not submit the report on the research achievements for grants mentioned in Clause 1, Article 13 of the Handling Rules or Clause 1, Article 16 of the Procedures on the Handling of grants, by the time instructed by the Minister of Education, Culture, Sports, Science and Technology or JSPS.
3. When persons of whom it has been decided not to notify the amount planned to be provided to them, in accordance to the provisions of the previous Clause, afterwards submit the report on the research achievements by the time instructed separately by JSPS or the Minister of Education, Culture, Sports, Science and Technology, JSPS should notify the amount planned to be provided to them, based on the provisions of Article 8. Moreover,

when persons, of whom the payment of the grant has been retained, in accordance with the provisions of the previous Clause, afterwards submit the report on the research achievements by the time instructed separately by JSPS or the Minister of Education, Culture, Sports, Science and Technology, JSPS may revoke the retention of the payment.

(Accounting records and other documents)

Article 18 Researchers who obtained funding of a grant should retain the accounting records on the balance of the grant, sort out receipts and other related documents, and store them for five years after the completion of the project for which the grant has been provided.

(Investigation on accounting)

Article 19 When deemed necessary, JSPS may investigate or provide guidance on the accounting of the grant of researchers who obtained funding, or demand that they report on the accounting.

(Investigation on the state of the funded project)

Article 20 When deemed necessary, JSPS may require that researchers who obtained funding of a grant submit a report on the state of the funded project, and may also conduct an on-site investigation.

(Publication of progress of research and research achievements)

Article 21 Among the reports related to the funded project, JSPS may publish all or part of the portion related to the progress of the research in the report on the state of implementation, the report on results and the report mentioned in the previous Article, in print or other means.

2. JSPS may publish all or part of the report on the research achievements, in print or other means.

(Donation of equipment and suchlike)

Article 22 If persons who obtained funding of a grant mentioned in Article 6 purchased equipment, implements or books (hereinafter “equipment”) with the grant, they should promptly select one or more appropriate research institutions from among the research institutions to which they belong, and donate the equipment.

2. Where it is deemed inconvenient for the research of the persons who obtained funding of a grant to promptly donate the purchased equipment, the equipment may not be donated until the necessity for the research disappears, provided that the approval of JSPS is

obtained, notwithstanding the provisions in the previous Clause.

(Other)

Article 23 In addition to the rules specified in these Handling Procedures, the rules necessary for the handling of grants should be provided elsewhere in the Application Guidelines and suchlike.

Additional Rule (No. 19, 2011)

This rule takes effect from April 28, 2011.

(Reference 5) State of Allocation of Grants-in-Aid for Scientific Research for FY2011 and Other Matters

1. State of Allocation of Grants-in-Aid for Scientific Research for FY2011

(1) New Projects

As of April 2011

Research category	Number of proposed projects			Amount allocated	Amount allocated per project	
	Applications	Applications approved	Approval rate		Average	Maximum
Grants-in-aid for Scientific Research	# [86,714] 89,800	# [19,168] 25,759	% [22.1] 28.7	(1,000 yen) [46,186,270] 62,176,350 【 18,476,025 】	(1,000 yen) [2,410] 2,414	(1,000 yen) [33,200] 32,900
Specially promoted Research	[1,063] 177	[279] 80	[26.2] 45.2	[778,600] 239,600	[2,791] 2,995	[10,000] 3,300
Scientific Research on Priority Areas(*1)	[1,365] 4,072	[346] 1,147	[25.3] 28.2	[1,169,200] 3,683,150 【 1,104,945 】	[3,379] 3,211	[9,000] 9,000
Scientific Research(A)	[2,296] 2,180	[536] 565	[23.3] 25.9	[7,110,100] 7,478,000 【 2,243,400 】	[13,265] 13,235	[33,200] 32,900
Scientific Research(B)	[9,714] 10,127	[2,489] 2,592	[25.6] 25.6	[13,585,300] 14,688,900 【 4,406,670 】	[5,458] 5,667	[14,200] 14,300
Scientific Research(C)(*2)	[31,443] 32,177	[7,471] 9,620	[23.8] 29.9	[10,361,600] 15,564,500 【 4,669,350 】	[1,387] 1,618	[3,500] 4,200
challenging Exploratory Research(*2)	[12,505] 12,734	[1,412] 3,809	[11.3] 29.9	[2,250,900] 5,916,100 【 1,774,830 】	[1,594] 1,553	[3,300] 3,400
Young Scientists(A)	[1,941] 1,907	[343] 459	[17.7] 24.1	[2,530,600] 3,859,300 【 1,157,790 】	[7,378] 8,408	[18,900] 21,700
Young Scientists(B)(*2)	[22,817] 22,688	[5,578] 6,787	[24.4] 29.9	[8,050,500] 10,396,800 【 3,119,040 】	[1,443] 1,532	[3,600] 3,400
Encouragement of Scientists	[3,570] 3,738	[714] 700	[20.0] 18.7	[349,470] 350,000	[489] 500	[800] 900
Publication of Scientific Research Results	[1,155] 1,045	[515] 521	[44.6] 49.9	[1,250,300] 1,139,090	[2,428] 2,186	[27,100] 26,900
Total	[87,869] 90,845	[19,683] 26,280	[22.4] 28.9	[47,436,570] 63,315,440 【 18,476,025 】	[2,410] 2,409	[33,200] 32,900

Notes:

1. The figures in [] indicate the previous fiscal year.
2. The figures in 【 】 indicate indirect costs (excluded from the total).
3. For items marked with an asterisk (*1), only new projects of continued area have been accounted for.
4. For items marked with an asterisk (*2), are funded with KAKENHI (Multi-year Fund) when adopted as new research projects from FY2011 on.
5. "Grant-in-Aid for Special Purposes" and "Special Grant-in-Aid for Encouragement of Scientists" are excluded.

(2) Newly approved and continued

As of April 2011

Research category	Number of proposed projects			Amount allocated (1,000 yen)	Amount allocated per project (1,000 yen)	
	Applications	Applications	Approval rate		Average	Maximum
Grants-in-aid for Scientific Research	[123,696] 127,403	[56,045] 63,310	[45.3] 49.7	[131,424,243] 149,213,117 【 43,696,954 】	[2,345] 2,357	[274,700] 213,000
Specially promoted Research(*1)	[65] 64	[65] 64	[-] -	[4,926,700] 4,891,900 【 1,467,570 】	[75,795] 76,436	[274,700] 213,000
Scientific Research on Priority Areas	[1,848] 599	[1,064] 501	[57.6] 83.6	[7,436,800] 3,206,600	[6,989] 6,400	[112,100] 45,000
Scientific Research on Innovative Areas(*2) (Research in a proposed research area)	[2,125] 5,116	[1,106] 2,191	[52.0] 42.8	[8,785,900] 17,285,350 【 5,185,605 】	[7,944] 7,889	[209,100] 122,400
Scientific Research on Innovative Areas(*1) (Research a proposed research project)	[160] 78	[160] 78	[-] -	[1,179,000] 540,900 【 162,270 】	[7,369] 6,935	[10,000] 7,900
Scientific Research(S)(*1)	[332] 337	[328] 335	[-] -	[7,197,000] 8,243,100 【 2,472,930 】	[21,942] 24,606	[74,400] 83,600
Scientific Research(A)	[3,655] 3,562	[1,878] 1,940	[51.4] 54.5	[17,582,800] 18,059,800 【 5,417,940 】	[9,363] 9,309	[33,200] 326,900
Scientific Research(B)	[15,492] 15,983	[8,236] 8,421	[53.2] 52.7	[32,402,200] 33,172,735 【 9,951,820 】	[3,934] 3,939	[14,200] 14,300
Scientific Research(C)(*3)	[47,141] 48,621	[23,142] 26,062	[49.1] 53.6	[23,686,812] 29,056,997 【 8,717,099 】	[1,024] 1,115	[3,500] 4,200
challenging Exploratory Research(*3)	[14,358] 14,576	[3,265] 5,651	[22.7] 38.8	[4,203,770] 7,665,964 【 2,299,789 】	[1,288] 1,357	[3,300] 3,400
Young Scientists(S)(*1)	[108] 108	[108] 107	[-] -	[1,527,700] 1,352,100 【 405,630 】	[14,145] 12,636	[27,200] 22,800
Young Scientists(A)	[2,540] 2,617	[938] 1,165	[36.9] 44.5	[5,075,900] 6,626,303 【 1,987,891 】	[5,411] 5,688	[18,900] 21,700
Young Scientists(B)(*3)	[31,281] 31,183	[14,020] 15,274	[44.8] 49.0	[16,170,953] 17,922,189 【 5,376,657 】	[1,153] 1,173	[3,600] 3,400
Research Activity Start-up(*1)	[1,021] 821	[1,021] 821	[-] -	[899,238] 839,179 【 251,754 】	[881] 1,022	[1,500] 1,500
Encouragement of Scientists	[3,570] 3,738	[714] 700	[20.0] 18.7	[349,470] 350,000	[489] 500	[800] 900
Publication of Scientific Research Results	[1,180] 1,084	[540] 560	[45.8] 51.7	[1,368,000] 1,280,990	[2,533] 2,287	[27,100] 26,900
Creative Scientific Research*1	[39] 18	[39] 18	[-] -	[2,537,200] 1,208,300 【 362,490 】	[65,056] 67,128	[99,700] 89,500
Total	[124,915] 128,505	[56,624] 63,888	[45.3] 49.7	[135,329,443] 151,702,407 【 44,059,444 】	[2,390] 2,375	[274,700] 213,000

Notes:

1. This chart combines the figures for newly selected and continuing projects.

2. The figures in [] indicate the previous fiscal year

3. The figures in 【 】 indicate indirect costs (excluded from the total)

4. In case of items marked with an asterisk (*1), only continued projects have been accounted for.

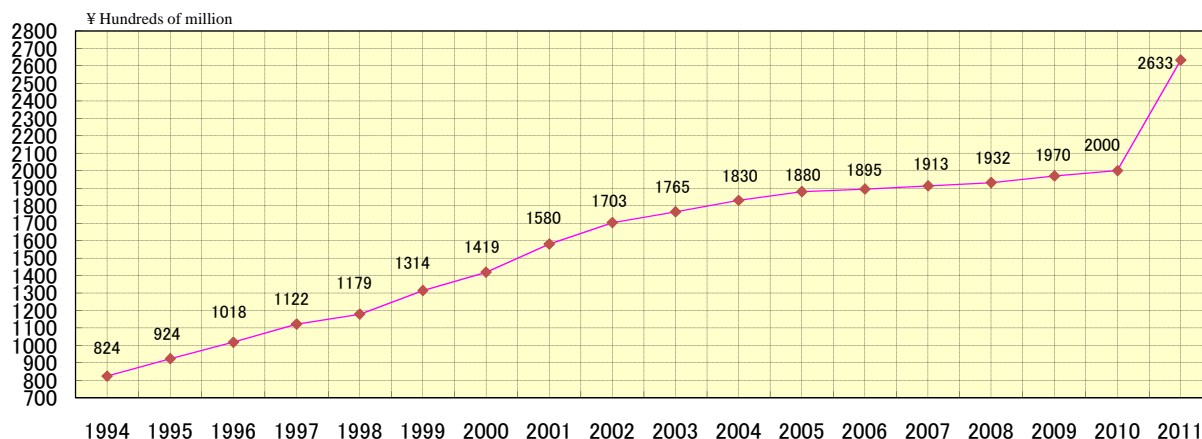
5. In case of items marked with an asterisk (*2), only new Projects and continued projects of continued area have been accounted for.

6. For items marked with an asterisk (*3), are funded with KAKENHI (Multi-year Fund) when adopted as new research projects from FY2011 on.

7. "Scientific Research on Innovative Areas (Research in a proposed research area) 'Support Activity in 3 Areas of Bioscience'", "Grant-in-Aid for Special Purposes" and "Special Grant-in-Aid for Encouragement of Scientists" are excluded.

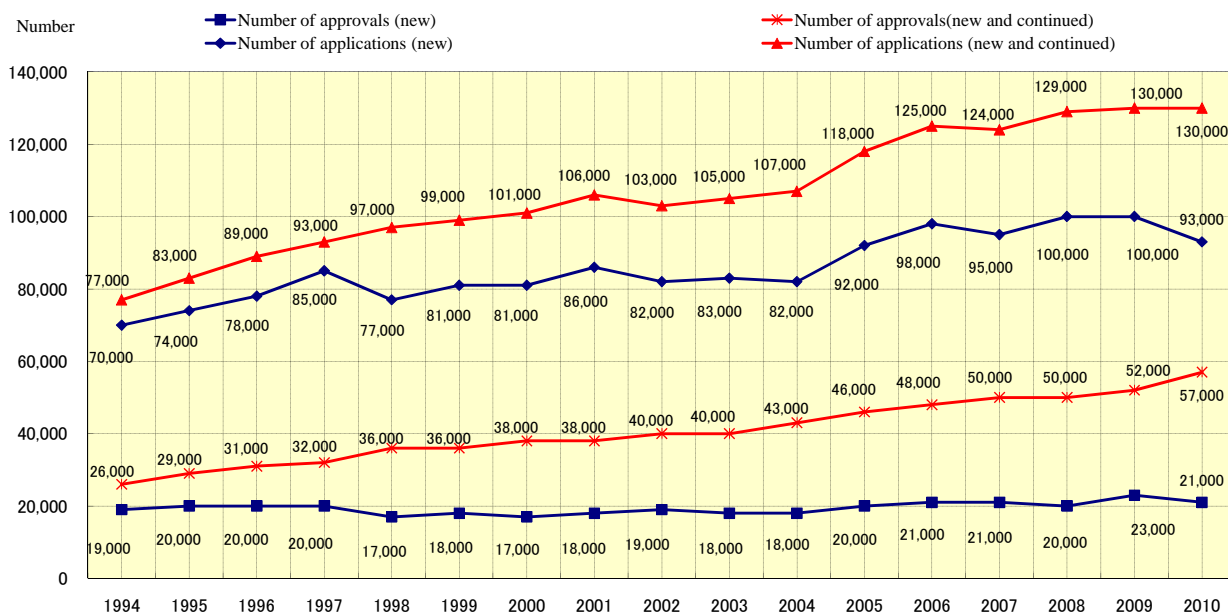
2. Changes in budgets and other information

○ Changes in budgets and other information



FY	1994	1995	1996	1997	1998	1999	2000	2001	2002	2003	2004	2005	2006	2007	2008	2009	2010	2011
Budget (¥ hundreds of millions)	824	924	1,018	1,122	1,179	1,314	1,419	1,580	1,703	1,765	1,830	1,880	1,895	1,913	1,932	1,970	2,000	(853) 2,633
Year-on-year increase (%)	12.0	12.1	10.2	10.2	5.1	11.5	8.0	11.3	7.8	3.6	3.7	2.7	0.8	0.9	1.0	2.0	1.5	31.7

○ State of applications and approvals



○ State of applications

FY	1994	1995	1996	1997	1998	1999	2000	2001	2002	2003	2004	2005	2006	2007	2008	2009	2010
Approval rate (%)	27.0	27.6	26.1	24.6	22.2	21.8	21.6	21.1	22.7	21.4	22.5	21.6	21.5	22.2	20.3	22.5	22.1
Fulfilling rate (%)	33.8	35.2	35.1	34.0	37.6	36.1	37.3	35.8	38.5	37.9	40.7	38.6	38.6	40.4	38.4	40.3	44.2