Procedures for Preparing and Entering Application Information (to be entered in the Website) (Scientific Research (S/A/B/C), Challenging Exploratory Research, and Grant-in-Aid for Young Scientists (A/B))

The confirmation of the content of the application and the preparation of the screening material is based on the "Application Information (to be entered in the Website)", which constitutes one part of the application documents. Consequently, it is possible that the information entered in the website will have an influence on the results of the screening, or it is possible that the research project will not be accepted for screening, because of the content entered. Therefore, the applicant should prepare the application information with care.

The Principal Investigator login the "Cross-ministerial Research and Development management system (hereinafter called "e-Rad")" using the ID and the password which has been provided by the applicant's research institution, accesses the "JSPS electronic application system for projects funded by KAKENHI", and directly enters the "Application Information (to be entered in the Website)" in the system. This data also constitutes the first half of the proposal for grant-in-aid.

Moreover, a part of the application data (effort and other information) should be registered in e-Rad.

The Principal Investigator is responsible for preparing the application information and should do so according to the rules set forth in the Application Procedures. When preparing the application information, he or she should pay attention to the following points.

Since the name of the Principal Investigator and the research institution he or she belongs to are information that has been registered in advance from the Principal Investigator's research institution, this information will be automatically displayed. Therefore, if the applicant finds mistakes when verifying it, he or she should contact the Secretariat of his or her research institution, after storing the data to be entered temporarily. He or she should then follow the instructions provided by the Secretariat.

Please select "Entry of Application Information" of the research category and screening division for which an application is made from the "List of Research Categories for which Applications are accepted".

1. New or continued

The applicant should select the appropriate item from among "new" or "continued".

Moreover, if he or she selects "continued", this is limited to research projects that fall under the category "research projects in which significant changes are made".

If the applicant makes an application for a "research projects in which significant changes are made", he or she should select "continued", and be sure to enter the research project number of the continued research project in question.

2. Application for a Grant for the Fiscal Year before the Final Fiscal Year of a Research Plan

(These are the items which need to be entered when applying for "Scientific Research".)
The applicant should select the appropriate item from among "Not Making Application" and "Making Application".

Moreover, if the applicant selects "Making Application", it is limited to research projects that fall under "application for the fiscal year before the final fiscal year of a research plan". If he or she makes an application under the category "application for the fiscal year before the final fiscal year of a research plan", he or she should select "Making Application" and enter the project number of the continued research project of which FY2013 is the final fiscal year. Moreover, he or she should be sure to fill in the necessary information in the section "items to be filled in when making an application for the fiscal year before the final fiscal year of a research plan" of the proposal for grant-in-aid he or she is preparing.

3. Desired Area for Screening

(These are items which need to be entered when applying for "Scientific Research (A/B)" screening division "Overseas Academic Research".)

The applicant should select one of the following areas he or she wishes to have screened from procedures for application.

(1) Humanities A, (2) Humanities B, (3) Humanities C, (4) Humanities D, (5) Social Sciences A, (6) Social Sciences B, (7) Social Sciences C, (8) Social Sciences D, (9) Mathematical and physical sciences A, (10) Mathematical and physical sciences B, (11) Chemistry, (12) Engineering, (13) Biology, (14) Agricultural sciences A, (15) Agricultural sciences B, (16) Medicine, dentistry, and pharmacy A, (17) Medicine, dentistry, and pharmacy B

4. Item Number

(1) When applying for "Scientific Research (S)", "Scientific Research (A/B/C)" screening division "General", "Challenging Exploratory Research", or "Grant-in-Aid for Young Scientists(A/B)".

The applicant should enter the item number (research field number) of the research field he or she wishes to have screened from the "List of Categories, Areas, Disciplines and Research Fields for FY2013 Grants-in-Aid for Scientific Research" (cf. procedures for application) (hereinafter called "List of Research Fields").

Furthermore, for Grant-in-Aid for Young Scientists (B), it is possible for applicants to select and enter two research fields, if they desire screening in multiple areas for a new and merged research plan.

Moreover, if the applicant wishes a screening in disciplines and research field with a time limit for Scientific Research (C), he or she should enter the item number (research field number) of the research field he or she wishes to have screened from the "List of Disciplines and Research Fields with a Time Limit" (cf. procedures for application).

(2) When applying for "Scientific Research (A/B)" screening division "Overseas Academic Research".

The applicant should enter the item number (research field number) of the research field which the applicant thinks is the most closely related to the content of his/her research project from the "List of Research Fields".

5. Screening Sub-panel Number

(These are items which need to be entered when applying for "Scientific Research (S)", "Scientific Research (A/B/C)" screening division "General", "Challenging Exploratory Research", and "Grant-in-Aid for Young Scientists (A/B)".)

The applicant should be sure to enter the screening sub-panel number, if his/her research project falls under one of the categories mentioned below.

(1) If the applicant selected a research field that has the indication "A" or "B" from the "List of Research Fields", he or she should select the screening sub-panel number for which he or she wishes screening from the "List of Categories, Areas, Disciplines and Research Fields, Appendix Table of Keywords" (cf. procedures for application) (hereinafter called "Keywords of the List of Research Fields"), and enter the following number.

"Screening Sub-panel A" → A, "Screening Sub-panel B" → B

(2) If the applicant applies for "Scientific Research (C)" and if he or she selected a research field in

the frame below from the "List of Research Fields", he or she should select a screening sub-panel number for which he or she wishes screening from the "Keywords of the List of Research Fields", and enter the following number.

"Screening Sub-panel 1" → 1, "Screening Sub-panel 2" → 2, "Screening Sub-panel 3" → 3, "Screening Sub-panel 4" → 4, "Screening Sub-panel 5" → 5

"Science education(1801)", "Educational technology(1802)", "Chinese philosophy/Indian philosophy/Buddhist studies(2902)", "Linguistics(3201)", "Foreign language education(3205)", "Management(3901)", "Sociology(4001)", "Education (4201)", "Education on school subjects and activities(4203)", "Algebra(4701)", "Geometry(4702)", "Basic analysis(4703)", "Particle/Nuclear/Cosmic ray/Astro physics(4901)", "Condensed matter physics II(4903)", "Medical pharmacy(7808)", "General anatomy (including histology/embryology) (7901)", " Human pathology (7908)", " Experimental pathology (7909)", " Gastroenterology (8202)", "Cardiovascular Medicine (8203)", " Respiratory organ internal medicine (8204)", " Kidney internal medicine (8205)", "Neurology (8206)", " Metabolomics (8207)", " Hematology (8209)", "Collagenous pathology/Allergology (8210)", " Pediatrics (8212)", " Dermatology (8214)", "Psychiatric science (8215)", " Radiation science (8216)", " General surgery (8301)", "Digestive surgery (8302)", " Cardiovascular surgery (8303)", " Respiratory surgery (8304)", "Neurosurgery (8305)", " Orthopaedic surgery (8306)", " Anesthesiology (8307)", "Urology (8308)", " Obstetrics and gynecology (8309)", " Otorhinolaryngology (8310)", "Ophthalmology (8311)", " Surgical dentistry (8407)"

6. Keywords

(These are items which need to be entered when applying for "Scientific Research (S)", "Scientific Research (A/B/C)" screening division "General", "Challenging Exploratory Research", and "Grant-in-Aid for Young Scientists (A/B)".)

(1) Keywords from Keyword List

The applicant should be sure to enter the symbol of the keyword which he or she thinks is the most closely related to the content of his/her research project within the research field he or she selected from the "Keywords of the List of Research Fields".

Moreover, it is not necessary to enter it, if the applicant wished screening as a "Discipline with a Time Limit" or a "Research Field with a Time Limit" under the research category "Scientific Research (C)".

(2) If the applicant applies for Grant-in-Aid for Young Scientists (B) and selects two research fields, he or she should be sure to enter the symbol of the keyword for each research field one by one

(i.e. two in total).

(3) Other Keywords

If, as need arises, there is a more appropriate keyword other than the ones in the "List of Research Fields", the applicant should enter this optional keyword, placing the limit at one keyword.

7. Name of the Principal Investigator

Since the section "name" is information that has been registered in advance from the research institution the Principal Investigator belongs to, this information will be automatically displayed. Therefore, the Principal Investigator in question should verify whether his/her name has been registered correctly.

8. Age

(These are items which need to be entered when applying for "Grant-in-Aid for Young Scientists (A/B)".)

Since this is information that has been registered in advance from the research institution the Principal Investigator belongs to, this information will be automatically displayed. Therefore, the Principal Investigator should verify whether his/her age as of April 1, 2013, has been registered correctly.

9. Position, Academic Unit and Research Institution of the Principal Investigator

Since the section "Research Institution", the section "Academic Unit", and the section "Position" are information that has been registered in advance from the research institution the Principal Investigator belongs to, this information will be automatically displayed. Therefore, the Principal Investigator should verify whether the information on his/her professional affiliation has been registered correctly at the time he or she is preparing the proposal for grant-in-aid.

(1) If the numbers mentioned below are displayed, the applicant should enter the name of the academic unit he or she actually belongs to. (If the institution the applicant belongs to is not of the level of an academic unit, it is not necessary to enter anything in the section "name".)

"709 (junior college established parallel to a national university)"

"875 (other academic units of a national university)"

"899 (other graduate courses)"

"901 (research institutions affiliated with public or private universities)"

"903 (other academic units of public or private universities)"

"913 (other academic units of inter-university research institutes)"

"999 ((1) junior college, technical college, academic unit of a designated institution, (2) professor emeritus (irrespective of whether the university is public or private))"

(2) If position number "25 (others)" is displayed, the applicant should be sure to enter the name of his/her actual position. Moreover, if position number "24 (researcher)" is displayed, and the name of the applicant's actual position is different from "researcher", he or she should enter the name of his/her position.

10. Academic Degree, Field of Specialization, Effort (Time Spent on Project)

(These are items which need to be entered when applying for "Grant-in-Aid for Young Scientists (A/B)".)

The applicant should be sure to enter each of these items.
The applicant should enter the time allocation rate (an integral number between 1 and 100) in the section "Effort", assuming that the research project for which the current application is being made would be selected.

When determining the time allocation rate, the applicant should determine it keeping in mind the definition of "effort" by the Council for Science and Technology Policy. This definition is "the percentage of time allocation (%) necessary for the implementation of the research in question, if the entire yearly working time of the researcher is set at 100%". Moreover, the "entire working time" does not mean time spent only on research activities, but entire actual working time, including time spent on educational activities and other activities.

Moreover, when the research project for which the current application is being made is selected, the applicant will be requested to determine the effort anew at that time and it will be registered in e-Rad.

11. Title of Proposed Project

In the section "Title of Proposed Project", the applicant should enter a title for the proposed research project, in principle, within 40 characters in a manner that the title specifically expresses the content of the research until the time of the completion of the research period. (The applicant should avoid general or abstract expressions.)

Moreover, it is possible to enter half-width characters (single-byte characters). However, please note that, if em-width characters (double-byte characters) and half-width characters are mixed together, each half-width character will also be counted as one character. Furthermore, if the applicant wishes to enter the title of the proposed project in English, it is possible to enter it within 200 half-width characters.

As a general rule, changes in the title of the research project will not be accepted.

The applicant should keep in mind that voiced sound symbols (*dakuten*) and semivoiced sound symbols (*handakuten*) are not counted independently as one character, but that letters of the alphabet, numbers, symbols, etc. are all counted as one character and displayed as such. The applicant should avoid the use of chemical formulas and mathematical formulas as much as possible. (Display example $Ca^{2+} \rightarrow$ Ｃａ２＋)

12. Budget for Proposed Project

The applicant should enter the budget for the proposed project for which an application is being made in the section "Budget for Proposed Project", based on the research plan and dividing the costs per fiscal year and per details (for example "equipment", "consumables", "travel expenses", etc.). In this case, the applicant should pay particular attention to the "Eligible costs (direct costs)" and "Ineligible costs" which are stated below. Moreover, please note that research projects of which the amount of the annual research budget is less than a 100,000 yen in one of the fiscal years of the research period are not eligible for grants-in-aid for scientific research.

Since the total amounts per fiscal year and per item of expense are automatically displayed on the confirmation screen after being entered, the applicant should verify them checking the amounts which he or she entered.

When entering the information, the amount should be entered in units of thousand yen and fractions of less than thousand yen should be rounded down.

Moreover, the applicant should be sure to enter "0" in all the sections for (1) items of expenses that do not fall in the fiscal year the application is made for, and for (2) all the items of expenses that fall in a fiscal year when no application is made.

13. Wish for Disclosure of Screening Results

The applicant should select the appropriate item from among "Wish for Disclosure of the Screening Results: Yes" or "Wish for Disclosure of the Screening Results: No", for the results of the first stage of the screening (document-based screening), in case his/her proposed project is not selected.

14. Contact Information of the Principal Investigator

(These are items which need to be entered when applying for "Scientific Research (S)").

In the section "Contact Information of the Principal Investigator" the information in case it is necessary to contact the Principal Investigator directly should be entered. (For example, the applicant is requested to enter not the location of the head office, but the location of the campus where the Principal Investigator actually works, as the address of the place of employment.)

15. Project Members List

(These are items which need to be entered when applying for "Scientific Research" and "Challenging Exploratory Research")

Concerning the planned research of "Scientific Research" and "Challenging Exploratory Research", as the occasion demands, it is possible to involve the "Co-Investigator (*kenkyū-buntansha*)", the "Co-Investigator (*renkei-kenkyūsha*)", and the "Research Collaborator" in the research.

Moreover, the definitions of "Principal Investigator", "Co-Investigator (*kenkyū-buntansha*)", "Co-Investigator (*renkei-kenkyūsha*)", "Research Collaborator" are as follows.

"Principal Investigator (The applicant)"

(A) The Principal Investigator is a member of a funded project and is the researcher who assumes full responsibility for the implementation of the research project (including the summarizing of the research achievements).

Moreover, persons who are expected to become unable to carry out their responsibility as a Principal Investigator, for example due to the loss of their applicant eligibility during the period of research, should avoid becoming a Principal Investigator. *

(B) When setting up a team of project members, the Principal Investigator should without fail collect a "Written Consent of the Co-Investigator (*kenkyū-buntansha*) (for other institution)", in case the Co-Investigator (*kenkyū-buntansha*) in question belongs to a different research institution, or a "Written Consent of the Co-Investigator (*kenkyū-buntansha*) (for same institution)", in case the Co-Investigator (*kenkyū-buntansha*) belongs to the same institution, and retain it.

* The Principal Investigator is the researcher who assumes full responsibility for the implementation of the research plan, and thus plays a central role. Persons who, at the time they apply, are expected to lose their eligibility to apply during the research period, due to retirement or other reasons, and thus become unable to carry out their responsibility, are requested to avoid becoming a Principal Investigator.

For this reason, replacements of Principal Investigators will no longer be accepted.

However, for "Summarizing Group Research Projects" of "Scientific Research on Innovative Areas (Research in a proposed research area)", it may happen that, after completion of the necessary procedures, replacements of Principal Investigators (or Principal Investigators of Innovative Areas) are accepted.

(C) Apart from registration in e-Rad of the information on the researchers as "Eligible to Apply for KAKENHI", it is essential that Principal Investigators are not designated as ineligible for receipt of funding in FY2013, because they committed fraudulent use, fraudulent receipt of grants or fraudulent acts using KAKENHI or other competitive funding.

"Co-Investigator (*kenkyū-buntansha*)"

(A) The Co-Investigator (*kenkyū-buntansha*) is a member of the funded project, and engages in research activity, collaborating with the Principal Investigator in the implementation of the research project and sharing the responsibility for the implementation of the research as a funded project. He or she has to receive a share of the grant-in-aid. (Even when the Co-Investigator (*kenkyū-buntansha*) belongs to the same research institution as the Principal Investigator, he or she should be allotted a share of the expenses.)

Moreover, a person who is expected to become unable to carry out one's responsibility as a Co-Investigator (*kenkyū-buntansha*), for example due to the loss of one's applicant eligibility during the period of research, should avoid becoming a Co-Investigator (*kenkyū-buntansha*).

(**B**) Apart from registration in e-Rad of the information on the researchers as "Eligible to Apply for KAKENHI", it is essential, in the same manner as for Principal Investigators, that Co-Investigators (*kenkyū-buntansha*) are not designated as ineligible for receipt of funding in FY2013, because they committed fraudulent use, fraudulent receipt of grants or fraudulent acts using KAKENHI or other competitive funding.

"Co-Investigator (*renkei-kenkyūsha*)"

(A)The Co-Investigator (*renkei-kenkyūsha*) is a researcher who participates in the research project as a project member, under the responsibility of the Principal Investigator and the Co-Investigator(s) (*kenkyū-buntansha*).

Since the Co-Investigator (*renkei-kenkyūsha*) is not a member of the funded project, he or she cannot receive a share of the KAKENHI, and cannot use subsidies on his/her own initiative.

(B) It is essential that Co-Investigators (*renkei-kenkyūsha*) register in e-Rad as "Eligible to Apply for KAKENHI", in the same manner as for Principal Investigators and Co-Investigators (*kenkyū-buntansha*).

"Research Collaborator"

A Research Collaborator is somebody who cooperates in the implementation of a research project other than the Principal Investigator, the Co-Investigator (*kenkyū-buntansha*) and the Co-Investigator (*renkei-kenkyūsha*). He/she does not necessarily have to be eligible for application.

(For example, a Fellow of the Japan Society for the Promotion of Science (JSPS Fellow), a researcher who belongs to an overseas research institution, a researcher who works for a corporation that is not recognized according to Article 2 of the Rules for the Handling of Grants-in-Aid for Scientific Research, etc.)

In addition, the applicant should fill in the section "Project Members List" while keeping in mind the following points.

(1) Concerning the edit box for the project members (Principal Investigator, Co-Investigator (*kenkyū-buntansha*), Co-Investigator (*renkei-kenkyūsha*)), when pressing the button "addition" on the left side of the entry screen one time for every member of the project, the edit box in which the data need to be entered is displayed.

The applicant should delete edit boxes for data entry that are not being used (when he or she entered data but finally does not use them, or when he or she did not enter data at all), by pressing the button "delete" on the left side.

The section "number of project members", displayed on the lowermost part of the screen, is displayed automatically, according to the number of edit boxes for data entry.

If the number in the section "number of project members" and the total number of persons for whom data have actually been entered do not correspond, "error" is displayed on the confirmation screen, the data have been entered.

If a Co-Investigator (*kenkyū-buntansha*) is scheduled to participate from the second fiscal year on, it is possible to enter this information in the Project Members List for "Scientific Research (C) (General)" and "Challenging Exploratory Research". In this case, the applicant should enter "0" in the section "Effort" of "Budget for Proposed Project for FY2013".

(2) The distinction Co-Investigator (*kenkyū-buntansha*) and Co-Investigator (*renkei-kenkyūsha*)

The applicant should select the appropriate item from among "Co-Investigator (*kenkyū-buntansha*)" and "Co-Investigator (*renkei-kenkyūsha*)" in the section "Division".

(3) In the case of collaborative research with a researcher from abroad, or a researcher from a company who is not qualified to apply for KAKENHI, these researchers become "Research Collaborator". Therefore, the applicant should not enter them in the Project Members List of the proposed project in question, but should mention them in a section where he or she explains the overall research plan, for example, in the section "Research Plan and Methods" of the proposal for grant-in-aid, according to the instructions in the Procedures for Preparing and Entering a Proposal for Grant-in-Aid.

(4) Information on the researchers

The correct information for each researcher, such as (1) researcher number, (2) name (kana and kanji), (3) age (as of April 1, 2013), (4) position, academic unit, research institution, (5) field of specialization, and (6) academic degree, should be entered or selected after verification by each

researcher in person and by the secretariat of the research institution the researcher belongs to. (A list of numbers for "position, academic unit, research institution" can be generated from the entry screen.)

However, since among the information on the Principal Investigator the items (1), (2), (3) and (4) are information that has been registered in advance from the research institution to which the Principal Investigator belongs, this information will be automatically displayed. Therefore, the Principal Investigator in question should verify whether this information has been registered correctly.

(5) Concerning the section "Academic Unit", if the applicant selected the numbers mentioned below, when selecting the academic unit number, he or she should enter the name of the academic unit he or she actually belongs to. (If the institution the applicant belongs to is not of the level of an academic unit, it is not necessary to enter anything in the section "name".)

"709 (junior college established parallel to a national university)"

"875 (other academic units of a national university)"

"899 (other graduate courses)"

"901 (research institutions affiliated with public or private universities)"

"903 (other academic units of public or private universities)"

"913 (other academic units of inter-university research institutes)"

"999 ((1) junior college, technical college, academic unit of a designated institution, (2) professor emeritus (irrespective of whether the university is public or private))"

(6) Concerning the section "Position", if the applicant selected "25 (others)", when selecting the position number, he or she should be sure to enter the name of the actual position. Moreover, if he or she selected "24 (researcher)", and the name of his/her actual position is different from "researcher", he or she should enter the name of his/her position.

(7) In the section "Roles", the applicant should fill in, how the Principal Investigator, the Co-Investigator(s) (*kenkyū-buntansha*) and Co-Investigator(s) (*renkei-kenkyūsha*) will cooperate to carry out the research, in a way that clarifies the respective connections between the researchers, and highlighting the allotment of research tasks in the research implementation plan FY2013.

(8) In the section "Budget for Proposed Project for FY2013" the share of the grant-in-aid to the Principal Investigator and the Co-Investigator(s) (*kenkyū-buntansha*) should be entered in units of thousand yen, based on the research plan. (Since Co-Investigator(s) (*renkei-kenkyūsha*) cannot receive a share of the funding, his/her/their share should not be entered.)

The total amount of all the shares of the grant-in-aid to each researcher should correspond to "Total Amount of Budget for Proposed Project for FY2013" in the section "12. Budget for

Proposed Project". (If it does not correspond, "error" is displayed on the confirmation screen, the data have been entered.)

(9) The applicant should enter the time allocation rate of the Principal Investigator and the Co-Investigator (*kenkyū-buntansha*) in the section "Effort", assuming that the research project for which the current application is being made would be selected.

When determining the time allocation rate, the applicant should determine it keeping in mind the definition of "effort" by the Council for Science and Technology Policy. This definition is "the percentage of time allocation (%) necessary for the implementation of the research in question, if the entire yearly working time of the researcher is set at 100%". Moreover, the "entire working time" does not mean time spent only on research activities, but entire actual working time, including time spent on educational activities and other activities.

Moreover, when the research project for which the current application is being made is selected, the applicant will be requested to determine the effort anew at that time and it will be registered in e-Rad.