



# Application Procedures for Grants-in-Aid for Scientific Research-KAKENHI-

FY2013

Specially Promoted Research,  
Scientific Research(S/A/B/C),  
Challenging Exploratory Research,  
and  
Grant-in-Aid for Young Scientists (A/B)

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Japan Society for the Promotion of Science  
(<http://www.jsps.go.jp/>)

## **Introduction**

The current round of call for proposals lists the necessary procedures and other matters for the Details of the Call for Proposals or Application of the Grants-in-Aid for Scientific Research-KAKENHI- for FY2013 “Specially Promoted Research, Scientific Research (S/A/B/C), Challenging Exploratory Research, Grant-in-Aid for Young Scientists (A/B)”

It consists of:

- I Outline of the Grants-in-Aid for Scientific Research**
- II Details of the Call for Proposals**
- III Instructions & Procedures for those Intending to Apply**
- IV Instructions & Procedures for those Who Have Already Been Accepted**
- V Instructions & Procedures for Staff of the Research Institution**

Among these, are listed in the “II Details of the Call for Proposals”: Eligible Candidates for the Research Categories for which a Call for Proposals is Organized; Total budget provided and Research period and other matters; and Schedule from Application to Receipt of Funding and other issues.

In addition, in “III Instructions & Procedures for those Intending to Apply”, “IV Instructions & Procedures for those Who Have Already Been Accepted” and “V Instructions & Procedures for Staff of the Research Institution” are listed: “Conditions for Applying”, “Necessary Procedures”, and other matters, for those who are eligible to apply. Individuals to whom it may concern are requested to make sure that they verify the relevant parts of the text.

The current round of call for proposals opens before the finalization of the budget for FY2013 in order to enable researchers to proceed with their preparations for the screening early, so that they can start their research as soon as possible.

Therefore, please be aware in advance that, depending on the situation regarding the overall budget, details like resources to be allocated and other matters may be subject to change at a later stage.

Moreover, the major changes for FY2013 are as follows.

<**The major changes for FY2013**>

① **The number of research categories that are funded from the fund system has been expanded from three to five.**

From FY2011 on, for a part of the KAKENHI research categories, the “KAKENHI (Multi-year Fund)” has been established within JSPS. This “KAKENHI (Multi-year Fund)” is funded with subsidies provided by the Ministry of Education, Culture, Sports, Science and Technology(MEXT). In this way, an institutional reform entailing the “establishment of a fund system” in order to promote KAKENHI has started.

In addition to “Scientific Research (C)”, “Challenging Exploratory Research” and “Grant-in-Aid for Young Scientists (B)”, for which a reform of the multi-year KAKENHI (the establishment of a fund system) has been accomplished in FY2011, the establishment of a fund system for newly adopted “Scientific Research (B)” and “Grant-in-Aid for Young Scientists (A)” has been newly introduced in FY2012. (Up to 5 million yen of the total research budget is funded from the fund system.) (hereinafter called “KAKENHI(Partial Multi-year Fund)” )

Moreover, due to the “establishment of a fund system”, the spending rules and the receipt of funding will change. For example, the use of KAKENHI extending over more than one fiscal year will become possible. However, the previous purpose and character of the “KAKENHI” does not change and the details of the call for proposals (i.e. eligibility, total budget provided, research period and other matters) will not change either.

Furthermore, the research categories for which the current round of call for proposals is organized will be handled as in the following table. Please note that the handling of KAKENHI (Series of Single-year Grants), KAKENHI (Multi-year Fund) and KAKENHI (Partial Multi-year Fund) will be treated separately in the current text.

Table of Research Categories for the Current Round of Call for Proposals (Series of Single-year Grants, Multi-year Fund and Partial Multi-year Fund)

Research Category	KAKENHI (Series of Single-year Grants)	KAKENHI (Multi-year Fund)	KAKENHI (Partial Multi-year Fund)
Specially Promoted Research	All research projects (New and continued research projects)		
Scientific Research (S/A)	All research projects (New and continued research projects)		
Scientific Research (B)	Research projects adopted in FY2011 or before (Continued)		<ul style="list-style-type: none"> <li>• Research projects adopted in FY2012 (Continued)</li> <li>• The current round of call for proposals (New)</li> </ul>
Scientific Research (C)	Research projects adopted in FY2010 or before (Continued)	<ul style="list-style-type: none"> <li>• Research projects adopted in FY2011 or FY2012 (Continued)</li> <li>• The current round of call for proposals (New)</li> </ul>	
Challenging Exploratory Research	Research projects adopted in FY2010 or before (Continued)	<ul style="list-style-type: none"> <li>• Research projects adopted in FY2011 or FY2012 (Continued)</li> <li>• The current round of call for proposals (New)</li> </ul>	
Grant-in-Aid for Young Scientists (A)	Research projects adopted in FY2011 or before (Continued)		<ul style="list-style-type: none"> <li>• Research projects adopted in FY2012 (Continued)</li> <li>• The current round of call for proposals (New)</li> </ul>
Grant-in-Aid for Young Scientists (B)	Research projects adopted in FY2010 or before (Continued)	<ul style="list-style-type: none"> <li>• Research projects adopted in FY2011 or FY2012 (Continued)</li> <li>• The current round of call for proposals (New)</li> </ul>	

※ Depending on the situation regarding the total budget, details, like resources to be allocated, and other matters may be subject to change at a later stage.

**② The “List of Categories, Areas, Disciplines and Research Fields” has been revised.**

Since FY2003 major revisions have been made to the “List of Categories, Areas, Disciplines and Research Fields”.

When making these revisions, deliberations were conducted at the Research Grant Screening Section of the Section Meeting for Science of the Academic Deliberation Council for Science and Technology of the Ministry of Education, Culture, Sports, Science and Technology (MEXT), and based on these deliberations, decisions concerning the revisions were made.

**③ Improvements have been made to Scientific Research on Innovative Areas.**

(see “Application Procedures for Grants-in-Aid for Scientific Research-KAKENHI- FY2013 (MEXT)”)

An improvement has been made so that researchers are allowed to apply and receive grants for two publicly invited research projects, while until now the limit was only one project. (It is however not permitted to apply and receive grants for projects in identical Innovative Areas.) The following standards have been established for the scale (number of projects and research budget) of the publicly invited research at the time of the application for “new innovative research areas”.

- The minimum standard shall be 10 adopted projects, as a general indicator, or 10% or more of the research budget of the whole Innovative Area.
- Without adhering too strictly to the above-mentioned standards, efforts shall be made to provide for the appropriate number of projects and the appropriate amount of money while aiming at the extensive development of research in the Innovative Area in question, based on the purposes of Scientific Research on Innovative Areas and the characteristics of the Innovative Area in question.

Moreover, the following duplicate applications have become possible.

- Principal Investigator of planned research of Scientific Research on Innovative Areas and Principal Investigator of Scientific Research (S)
- Principal Investigator of planned research or publicly invited research of Scientific Research on Innovative Areas, on the one hand, and Co-Investigator (*kenkyū-buntansha*) of Specially Promoted Research, on the other.

**④ For Grant-in-Aid for Young Scientists (B), it has become possible to select two research fields as desired areas for screening.**

When applying for Grant-in-Aid for Young Scientists (B), it has become possible for researchers to select two research fields from the “List of Categories, Areas, Disciplines and Research Fields”, if they desire screening in multiple areas for new and merged research plans.

○ Outline of the screening of research plans for which two research fields have been selected (plan)

- In the same manner as for research plans for which one research field has been selected, two-stage screening will be carried out.
- During the first stage of the screening, the first-stage screening committee members (judges) for “Grant-in-Aid for Young Scientists (B)” will carry out a document-based screening for each of the two selected research fields.
- During the second stage of the screening, a collegial screening will be carried out, based on the screening results of the first stage, by screening committee members (judges) who are different from the first-stage screening committee members. This collegial screening will take place in committees that are different from the committees that screen the research plans for which one research field has been selected. More specifically, these committees are, first, a committee for each of the four categories (i.e. Integrated Disciplines, Humanities and Social Sciences, Science and Engineering, Biological Sciences) that only screens research plans for which two newly established research fields have been selected and, secondly, a committee that carries out overall adjustments.

※For more details concerning the screening, please refer to “Rules concerning the screening and assessment for Grants-in-Aid for Scientific Research”, which will be made public in early October.

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Supplementary Volume

### **Application Procedures for Grants-in-Aid for Scientific Research-KAKENHI- for FY2013 (Specially Promoted Research, Scientific Research (S/A/B/C), Challenging Exploratory Research, Grant-in-Aid for Young Scientists (A/B)) (Application Forms and Data Entry)**

## **1. Proposal for grant-in-aid**

### **(1) Specially Promoted Research**

Procedures for preparing and data entry of proposal for grant-in-aid (new/continued)

#### **First Half, application information (Items to be filled in on the form on the website)**

Application information (Items to be filled in on the form on the website) (screenshot)

#### **Second Half, Files with Project Description**

Form S-1-1 (1): Proposal for grant-in-aid “Specially Promoted Research” (new / English version)

Form S-1-1 (2): Proposal for grant-in-aid “Specially Promoted Research” (new / Japanese version)

Form S-1-2: Proposal for grant-in-aid “Specially Promoted Research” (continued)

### **(2) Research categories other than Specially Promoted Research**

#### **First Half, application information (Items to be filled in on the form on the website)**

Application information (Items to be filled in on the form on the website) (Scientific Research (S/A/B/C), Challenging Exploratory Research and Grant-in-Aid for Young Scientists (A/B))

Preparation and data entry of application information

Application information (Items to be filled in on the form on the website) (screenshot)

#### **Second Half, Files with Project Description (procedures for preparation and data entry of proposal for grant-in-aid, and form for proposal for grant-in-aid)**

Form S-1-6: Proposal for grant-in-aid “Scientific Research (S)” (new)

Form S-1-7: Proposal for grant-in-aid “Scientific Research (A/B) (General)” (new)

Form S-1-8: Proposal for grant-in-aid “Scientific Research (C) (General)” (new)

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Form S-1-10: Proposal for grant-in-aid “Challenging Exploratory Research” (new)

Form S-1-12: Proposal for grant-in-aid “Grant-in-Aid for Young Scientists (A)” (new)

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Form C-11: Written consent of the Co-Investigator (*kenkyū-buntansha*) (for other institution)

Form C-12: Written consent of the Co-Investigator (*kenkyū-buntansha*) (for same institution)

### KAKENHI (Multi-year Fund)

Form F-11: Written consent of the Co-Investigator (*kenkyū-buntansha*) (for other institution)

Form F-12: Written consent of the Co-Investigator (*kenkyū-buntansha*) (for same institution)

### KAKENHI (Partial Multi-year Fund)

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Form Z-12: Written consent of the Co-Investigator (*kenkyū-buntansha*) (for same institution)

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### KAKENHI (Series of Single-year Grants)

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### KAKENHI (Multi-year Fund)

Form U-1-2: Notice of Completion of Project Funded

### KAKENHI (Partial Multi-year Fund)

Form U-1-3: Notice of Completion of Project Funded for FY2012