

3. Preparing the Application (Proposal for Grant-in-Aid) and Submitting the Application (Proposal for Grant-in-Aid)

The document necessary for the application is the Proposal for Grant-in-Aid.

The Principal Investigator should prepare the Proposal for Grant-in-Aid (PDF file) by entering the application information (Items to be filled in on the form on the website), and by attaching the separately prepared Files with Project Description (Items to be entered in the attached file) to the Electronic Application System. Then he or she should submit (send) the Proposal for Grant-in-Aid to the research institution he or she belongs to, by the deadline set by the research institution.

Details on the preparation of the Proposal for Grant-in-Aid and the way how to apply are as follows. The applicant should verify this information.

(1) Application via the Electronic Application System

When applying, **the applicant should login into the “e-Rad” using the e-Rad ID and Password that is provided by the research institution to which he or she belongs. Then he or she should access the “Electronic Application System” and prepare the application documents.**

1) Researchers who apply as Principal Investigators, based on the “FY2013 Grants-in-Aid for Scientific Research – KAKENHI, Procedures for Preparing and Entering a Proposal for Grant-in-Aid for Specially Promoted Research (New/Continued)”, in the case of “Specially Promoted Research”, and based on the “Procedures for Preparing and Entering Application Information (Items to be filled in on the form on the website) (Scientific Research (S/A/B/C), Challenging Exploratory Research, Grant-in-Aid for Young Scientists (A/B))”, in the case of the other research categories. Finally they should attach the project description file (Items to be entered in the attached file), that has been separately

Note The project description file (items to be entered in the attached file) can also be downloaded from the JSPS website on Grants-in-Aid for Scientific Research – KAKENHI (<http://www.jsps.go.jp/j-grantsinaid/index.html>) before obtaining an ID and a password.

2) The research institution to which the Principal Investigator belongs should compile and submit the necessary proposal for grant-in-aid.

Therefore, the Principal Investigator should **submit (send) the application documents to the research institution he/she belongs to, by the deadline decided the research institution. (He or she cannot submit (send) them directly to JSPS.)**

Moreover, when submitting (sending) it, he or she should sufficiently check the details of the Proposal for Grant-in-Aid (PDF file) he or she prepared, and perform the “check completed and submission” process.

(He or she should submit the proposal for grant-in-aid (PDF file) to the research institution to which he or she belongs.)

(2) Preparing the proposal for Grant-in-Aid

The Principal Investigator should prepare a proposal for grant-in-aid, for **“Specially Promoted Research”, in accordance with the “FY2013 Grants-in-Aid for Scientific Research, Procedures for Preparing and Entering a Proposal for Grants-in-Aid for Specially Promoted Research (New and Continued)”** and, for the research categories other than **“Specially Promoted Research”, in accordance with the “Procedures for Preparing and Entering Application Information (to be entered in the website) (Scientific Research (S/A/B/C), Challenging Exploratory Research, Grant-in-Aid for Young Scientists (A/B))”** and **“FY2013 Grants-in-Aid for Scientific Research, Procedures for Preparing and Entering a Proposal for Grant-in-Aid”** for each research category (screening panel).

On the Proposal for Grant-in-Aid

1) A proposal for grant-in-aid consists of the following two parts:

First part: Enter **the application information (to be entered in the website) (*1)** in the electronic application system.

(*1) Information to be entered by the Principal Investigator in the website via the electronic application system includes the title of proposed project, basic data on the proposed project, like the budget for which the application is made, basic data on the project members, etc.

Second part: Download **the project description file (*2)** from the section “Grants-in-Aid for Scientific Research - KAKENHI” of the JSPS website (<http://www.jsps.go.jp/j-grantsinaid/index.html>), and prepare the proposal for grant-in-aid (PDF file) by attaching it to the “electronic application system”.

(Paper-based applications will not be accepted.)

(*2) Details on the research project including the purpose of the research, the research plan and research methods should be entered.

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

- 2) A copy of the proposal for grant-in-aid in black-and-white (gray scale) print is sent to the screening committee. Therefore, when preparing the proposal for grant-in-aid, the applicant should pay attention not to make a version of which the content becomes unclear when copied.
- 3) The personal information included in the proposal for grant-in-aid will be used to eliminate unreasonable reduplication and excessive concentration of competitive funds and to carry out

service on KAKENHI. (This also includes offering personal information to external private enterprises in charge of electronic processing and management of the data.) The personal information included in the application forms will also be provided to the e-Rad. (It may happen that information will be supplied to the Government Research and Development Database of the Cabinet Office through e-Rad. Moreover, the applicant may be requested to cooperate in various kinds of work, the verification of information and other matters, in order to prepare this information.)

※ “Government Research and Development Database”: In order to appropriately assess research and development conducted using national funding, and in order to effectively and efficiently draft policy plans related to comprehensive strategy, resource allotment and other matters, the Council for Science and Technology Policy of the Cabinet Office has created a database that makes it possible to comprehend various kinds of information in an integrated and exhaustive manner, and to search and analyze necessary information.

Moreover, information concerning adopted research projects (title of proposed project, name of the Principal Investigator, amount planned to be provided, etc.) is considered to be “information planned to be made public”, as laid down in Article 5, paragraph 1, item 1 of the “Act on Access to Information Held by Independent Administrative Agencies” (Act No. 140 of 2001). This information will be disclosed through press release materials, the database of the National Institute of Informatics, and other means.

Information like professional affiliation, name, etc. of the Principal Investigator of the selected research project will be entered in the database of JSPS screening committee candidates, as the need arises. A request for updating the database will be made annually through the research institution to which the Principal Investigators belong (planned for April).

Issues that Need to Be Considered When Preparing the Proposal for Grant-in-Aid

When preparing the Proposal for KAKENHI, the applicant should check the following points and verify whether there are no flaws in the content.

1. Whether or not it is an Ineligible Research Project

The following research projects are not eligible:

- A) Research projects which merely aim at purchasing ready-made research equipment.
- B) Research projects which aim at producing large-size research equipment and similar things which should be funded by other budgets.
- C) Research projects which directly aim at developing and selling goods and services (including

market trend surveys on the development and sale of goods and services).

D) Funded research which is carried out as commercial business.

E) Research projects with a budget of **less than 100,000 yen** in any of the fiscal years of the research period.

2. Whether the following requirements are met for the Project Members

When necessary, the Principal Investigator (See page 47 1)) can set up a team of project members together with a Co-Investigator (*kenkyū-buntansha*) (See page 48 2)), a Co-Investigator (*renkei-kenkyūsha*) (See page 48 3)), and/or a Research Collaborator (See page 48 4), according to the nature of the research project.

Moreover, **regarding the Co-Investigator (*kenkyū-buntansha*) and the Co-Investigator (*renkei-kenkyūsha*), like in the case of the Principal Investigator, the research institution** ^(Note) **needs to verify whether, at the time of the application, the following requirements are met.**

However, Research Collaborators do not necessarily need to be registered in e-Rad.

Moreover, JSPS Fellows, Foreign JSPS Fellows and students, such as, for example, graduate students cannot become Principal Investigators. They can neither become Co-Investigators (*kenkyū-buntansha*) and Co-Investigators (*renkei-kenkyūsha*).

Requirements

- 1) **The researcher should belong to the research institution as a person who has *inter alia* the duty to perform research activities within the research institution in question** (irrespective of whether the work is paid or unpaid, full-time or part-time. Moreover, it is not necessary for the researcher to perform these research activities as such as his or her main duty.)
- 2) **The researcher should actually be engaged in research activities at the research institution in question** (This does not apply to cases where he or she is only engaged as a research assistant.)
- 3) **The researcher is not a graduate student or any other category of student.** (However, this does not apply to persons who have a position consisting of conducting research activities in the research institution to which they belong, as their main work (e.g., university teaching staff, researchers from companies, etc.), and who also have a student status.)

Note: Research institutions as prescribed in Article 2 of the Rules for the Handling of Grants-in-Aid for Scientific Research (announced by the Ministry of Education)

(References) Requirements that need to be met by the research institution(see page 100)
Requirements

- If a KAKENHI is given, the research activity should be conducted as an activity of the research institution in question.
- If a KAKENHI is given, the research institution should carry out the management of the KAKENHI.

Research grant employees, as a rule, need to concentrate on their employment related work according to their employment contracts. Therefore, considering the working hours they need to allot to the employment related work, they cannot apply for Grants-in-Aid for Scientific Research themselves.

However, if they provide a clear explanation on the time they can spend besides their employment related work, and if during this time they themselves attempt to conduct research using a Grant-in-Aid for Scientific Research, on their own initiative, it is possible for them to apply for Grants-in-Aid for Scientific Research, on condition that the following points have been verified in the research institution. In this case, they can apply as Principal Investigator, and they can also become Co-Investigator (*kenkyū-buntansha*), Co-Investigator (*renkei-kenkyūsha*), or other project members.

- It has been determined in the employment contract that research grant employees themselves can conduct research on their own initiative, besides the employment related work.
- The employment related work and work devoted to research that they conduct themselves on their own initiative has clearly been divided in the working hours and the effort.
- Time that can be allotted to research which they attempt to conduct themselves on their own initiative has sufficiently been secured, besides the time spent for employment related work.

Principal Investigators and Co-Investigators (*kenkyū-buntansha*) are members of funded projects, as stipulated in the Law on the Improvement of the Administration of the Budget for Grants-in-Aid (1955, Law no. 179), and it has been decided that, in case they commit inappropriate use of the grants-in-aid or the like, no KAKENHI will be offered, for a fixed period of time.

In addition, it may happen that researchers are treated as indicated below, even if their researcher information has been registered in e-Rad as “Eligible to Apply for Grants-in-Aid for Research”.

- If it is judged in the research institution to which researchers belong that it is not appropriate to let them conduct their research activities as activities of the research institution in question, it may happen that the research institution does not recognize the application, and it may happen that the application for funding by these researchers in question is not recognized and that the application for funding of the KAKENHI is

rejected.

- No KAKENHI will be funded, if there is a new application for Grants-in-Aid for Scientific Research from researchers who do not submit the report on the research achievements at the end of the research, without any reason, even if their research has been adopted after screening. Moreover, if researchers have failed, without good reason, to submit the scheduled report on the research achievements, then implementation of other Grants-in-Aid for Scientific Research due to be implemented in the same fiscal year will be suspended.

1) 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. (See note.)

(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.

(Note) 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 not be accepted anymore.

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 Investigator 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.

2) 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.

3) 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 the information on the researchers in e-Rad as "Eligible to Apply for KAKENHI", in the same manner as for Principal Investigators and Co-Investigators (*kenkyū-buntansha*).

4) Research Collaborator

(A) 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*).

(For example, a postdoctoral researcher, a research assistant (RA), 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.)

(B) It is not necessary for Research Collaborators to register the information on the researchers in e-Rad as “Eligible to Apply for KAKENHI”.

3. Whether the following requirements are met for the Budget

1) Eligible costs (direct costs)

The budget necessary for the implementation of the research plan (including the budget necessary for summarizing the research achievements) is eligible.

* In case of research projects where in any of the fiscal years any of the costs like “equipment”, “travel expenses” or “personnel expenditure and remuneration” exceeds 90%, the applicant should write down in the proposal for grant-in-aid the reasons why these costs in question are necessary for the implantation of the research.

2) Ineligible costs

The following costs are not included in the funding:

- A Costs for buildings and other facilities (excluding the costs for minor installations which became necessary because of the introduction of goods that have been purchased by means of direct costs)
- B Costs for handling accidents or disasters that occurred during the implementation of funded project
- C Personnel expenditure and remuneration for the Principal Investigator or Co-Investigator(s) (*kenkyū-buntansha*)
- D Other costs which fall under indirect costs*

* Indirect costs are costs necessary for the management of the research institution and other things that arise during the implementation of the research project (corresponding with 30% of the amount of the direct costs). The costs are used by the research institution.

This time, it is scheduled to set up indirect costs for the research categories for which a call for proposals is organized. However, the Principal Investigator does not need to state those indirect costs in the application documents.

4. When applying, the applicant should select a desired area for screening as follows

1) In the case of an application for “Specially Promoted Research”

When applying, please make sure to select, according to the content of the research project, one desired area for screening from “Humanities and Social Sciences”, “Science and Engineering” or “Biological Sciences”. Moreover, if you select “Science and Engineering”, please select one screening division from the subcategories “Mathematics/Physics”, “Chemistry”, or “Engineering”, which you think is the most closely related to your research project.

2) In case of an application for “Scientific Research” (screening division “General”), “Challenging Exploratory Research” and “Grant-in-Aid for Young Scientists (A)”

When applying, please make sure to select, according to the content of the research project, **one appropriate research field** from Attached Table 2 “List of Categories, Areas, Disciplines and Research Fields for FY2013 Grants-in-Aid for Scientific Research” (hereinafter called “List of Research Fields” ; see pages 52-54), which is a classification table showing the desired areas for screening. In addition, please make sure to select one keyword which the applicant thinks is the most closely related to the content of his/her research project within the selected research field from Attached Table 3 “Appendix Table of Keywords” (hereinafter called “Table of Keywords”; see pages 60-96).

About the “List of Disciplines and Research Fields with a Time Limit” (special cases in “Scientific Research (C)”)

In order to be able to react flexibly to trends in scientific research, a “**List of Disciplines and Research Fields with a Time Limit**” (see pages 55-59), has been set up, as a table separate from the “List of Research Fields”. This list is operated in a flexible way, within the limits of a set period. Only for research projects that fall into the category of “Scientific Research (C)”, one area can be selected as a desired area for screening from this “List of Disciplines and Research Fields with a Time Limit”. Moreover, the research period is 3 to 5 years, regardless of the set period of the research area.

3) In case of an application for “Grant-in-Aid for Young Scientists (B)”

When applying, please make sure to select, according to the content of the research project, **one or (if you desire screening in multiple areas for new and merged research plans) two appropriate research fields** from the “List of Research Fields”, which is a classification table showing the desired areas for screening. In addition, please make sure to select from the “Table of Keywords” **one keyword which you think is the most closely related to the content of your research project within the selected research field, if you selected one research field, OR one keyword for each research field, one by one (i.e. two in total), if you selected two research fields.**

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

<ul style="list-style-type: none"> • In the same manner as for research plans for which one research field has been selected, <u>two-stage screening</u> 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. Comprehensive Fields, 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. <p>※ For more details concerning the screening, please refer to “Rules on Screening and Assessment of Grants-in-Aid for Scientific Research”, which will be made public in early October.</p>
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4) In case of an application for “Scientific Research” (screening division “Overseas Academic Research”)

When applying, please **make sure to select one area** you wish to have screened from the following 17 areas, and one research field which you think is the most closely related to your research project.

	Desired area for screening
Humanities and Social Sciences	1) Humanities A (philosophy, literature, linguistics, the arts)
	2) Humanities B (history, archaeology)
	3) Humanities C (human geography, cultural anthropology)
	4) Humanities D (Geography, Area studies, and others which do not fall under Humanities A, B, or C)
	5) Social Sciences A (law, Politics)
	6) Social Sciences B (economics, business administration)
	7) Social Sciences C (sociology)
	8) Social Sciences D (psychology, education)
Science and Engineering	9) Mathematical and physical sciences A (earth and planetary science)
	10) Mathematical and physical sciences B (mathematics, physics, and others which do not fall under Mathematical and physical sciences A)
	11) Chemistry
	12) Engineering
Biological Sciences	13) Biology
	14) Agricultural sciences A (plant production and environmental agriculture, agricultural chemistry, forest and forest products science, boundary agriculture)
	15) Agricultural sciences B (agricultural science in society and economy, agro-engineering, animal life science, applied aquatic science)
	16) Medicine, dentistry, and pharmacy A (pharmacy, basic medicine, boundary medicine, and society medicine)
	17) Medicine, dentistry, and pharmacy B (clinical medicine, dentistry, nursing, and others which do not fall under Medicine, dentistry, and pharmacy A)