Form S-1-2

FY2014 Procedures for Preparing and Entering a Proposal for Grant-in-Aid for "Specially Promoted Research" (Continued)

A proposal for grant-in-aid needs to be submitted for research projects in which the applicant would like to make significant changes in the research plan (i.e. ① a change in the research purpose or a change in the title of the proposed project; ② a change in the annual plan of the research budget from FY2014 on; ③ an increase or a reduction of the research budget; ④ a shortening or other modification in the research period). The applicant should bear in mind that it is not necessary to submit a proposal for other continued research projects.

Therefore, the applicant should prepare this proposal carefully paying particular attention to the points below.

Remarks

**The Principal Investigator is responsible for preparing the proposal for grant-in-aid according to the rules in the Procedures for Application. For definitions of the Principal Investigator, Co-Investigator (*kenkyu-buntansha*), Co-Investigator (*renkei-kenkyusha*), and Research Collaborator, see procedures for application.

* The form consists of the "I. Application Information (To be Entered in the Website)" and the "II. Project Description File (Items of the Attached File)". No modifications can be made to the prescribed form.

*Proposals for grant-in-aid prepared in English will also be accepted.

I. Application data (entry via the website)

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 "Application Information (to be entered in the Website)" are the items which the Principal Investigator directly enters after accessing the "JSPS Electronic Application System for Projects Funded by KAKENHI" (hereinafter called "electronic application system") using the ID and the password for the Cross-Ministerial Research and Development Management System (hereinafter called "e-Rad"), which has been provided by his or her research institution. 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.

1. New or continued

The applicant should select "Continued".

2. Research Project Number in Case of a Continued Project

The applicant should be sure to enter the research project number of the research project for which the current continued application is being made, and to push the button "Downloading Information on Continued Projects".

3. Significant Changes in the Research Plan in Case of a Continued Project: Yes or No

Concerning the presence of significant changes in the research plan (① a change in the research purpose or a change in the title of the proposed project, ② a change in the annual plan of the research budget from FY2014 on, ③ an increase or a reduction of the budget, ④ a shortening of the research period, and other changes.), if there are any such changes, the applicant should select "Yes".

If the applicant makes significant changes in the research plan, the project needs to be screened by the Scientific Research Grant Committee. Therefore, he or she should also prepare the items below.

Moreover, if the applicant does not make significant changes in the research plan, it is not necessary to prepare the items below.

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

The applicant should select "Not Applying".

5. Area the Applicant Wishes to Have Screened (Division of the Category, etc.)

The applicant should select the same division from among "Humanities and Social Sciences", "Science and Engineering (Mathematics/Physics)", "Science and Engineering (Chemistry)", "Science and Engineering (Engineering)" or "Biological Sciences" as when his/her project was selected.

6. 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.

Moreover, the applicant should not enter anything in the section below (English), since it is for items that need to

be entered in case of a new application.

7. 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.

Moreover, the applicant should not enter anything in the section below (English), since it is for items that need to be entered in case of a new application.

- (1) If the name of the academic unit that is automatically displayed in the section "academic unit" is different from the name of the academic unit the applicant actually belongs to, he or she should enter the actual name of his or her academic unit. (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".)
- (2) If the name of the position that is automatically displayed in the section "position" is different from the actual name of the applicant's position, he or she should enter the actual name of his or her position.

8. Title of Proposed Project

When pushing the button "Downloading Information on Continued Projects", the title of proposed project is shown automatically.

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 $Ca^{2+} \rightarrow C a 2 +)$

Moreover, the applicant should not enter anything in the section below (English), since it is for items that need to be entered in case of a new application.

9. Budget for Proposed Project

When pushing the button "Downloading Information on Continued Projects", the "amount decided to be provided" is shown automatically in the section "Annual Budget" which is the total of the section "Details".

When entering the information in the section "Budget for the Proposed Research Project", the amount should be entered in units of thousand yen and fractions of less than thousand yen should be rounded down. Since the total amounts per fiscal year and per item of expense to be used are automatically displayed on the confirmation screen after being entered, the applicant should verify them checking the amounts which he or she entered.

Moreover, if the amount exceeds the "amount decided to be provided", the application becomes an application with an increase of the budget.

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.

10. Researchers in related research areas (cannot be entered in the PDF file)

This item does not need to be entered, since it is an item that needs to be entered only in the case of a new application.

11. Related research areas (items)

This item does not need to be entered, since it is an item that needs to be entered only in the case of a new application.

12. Contact information of the Principal Investigator (cannot be entered in the PDF file)

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.)

13. Project Members List

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, then an "error" is displayed on the confirmation screen after the data has been entered. Therefore, the applicant should always delete edit boxes for data in which no data has been entered.

- (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 of the research 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 that he or she is preparing. This should be done in accordance with the instructions provided 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, 2014), (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)If the name in the "list of numbers for academic units" in the section "academic unit" is different from the name of the academic unit the applicant actually belongs to, he or she should enter the actual name of his or her academic unit. (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".)
- (6) If the name in the "list of numbers for position" in the section "position" is different from the actual name of the position, he or she should enter the actual name of his or 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 FY2014.
- (8) In the section "Budget for Proposed Project for FY2014" 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 FY2014" in the section "9. 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 (an integral number between 1 and 100) 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.

(10) In sections where (English) is shown, nothing needs to be entered, since it are items that need to be entered only in the case of a new application.

14. Project Members List

"The applicant should select the prepared (Japanese version) Project Description File (word or PDF)". Then, he or she should upload it in the section "Project Description File (items in the attached file)" (form S-1-1(2)). The applicant should keep in mind that uploading it in the section "(1) Please select the prepared English version of the Project Description File (Word or PDF)" is considered as an error, and he or she should make sure that the file name starts with "jp" (capital letters are possible).

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

Specially Promoted Research 1

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

Specially Promoted Research (2)

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

Specially Promoted Research (3)

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 (1)作成した「英語版」応募内容ファイル(Word又(JPDF)を選択してください。 ※ただし、継続の場合は「英語版」応募内容ファイルを選択しないでください。 (2)作成した「日本語版」応募内容ファイル(Word又(JPDF)を選択してください。 (数照) 	Project

II. Project Description File (Items of the Attached File) (Form S-1-2)

The items below are the content of the "Project Description File (Items of the Attached File)", and form the second half of the proposal for grant-in-aid (PDF file).

The Principal Investigator should download the form for "Project Description File (Items of the Attached File)" from the homepage for grants-in-aid for scientific research of JSPS and fill it in. Then he or she should access the "Electronic Application System" and attach it.

When attaching the filled in file to the electronic application system, the applicant should upload it in the section "(2) Please select the prepared Japanese version of the Project Description File (Word or PDF)" of "Selection of the Project Description File". The applicant should keep in mind that uploading it in the section "(1) Please select the prepared English version of the Project Description File (Word or PDF)" is considered as an error, and he or she should make sure that the file name starts with "jp" (capital letters are possible).

1. Overall Research Plan

The applicant should fill in number (1) below using character size 11 or larger, according to the instructions mentioned below and in each of the sections to be filled in.

- (1) The applicant should fill in respectively the sections "Purpose of the Research", "Progress of the Research until FY2013", "Self-Evaluation of the Research until FY2013", "Research Plan and Methods after FY2014", "Changes from the Initial Plan", "Protection of Human Rights and Compliance with Laws and Regulations" and "Publication of Research Achievements", according to the instructions mentioned in the proposal for grant-in-aid.
- (2) In the section "Statement of Costs for Equipment" the applicant should enter the costs itemizing them per fiscal year and provide a total sum, according to the instructions mentioned in the proposal for grant-in-aid. It is allowed to adjust the sections to be filled in (one box per fiscal year) to fit to the amount of costs stated. However, the total length should be limited to two pages or less.
- (3) In the section "Statement of Costs for Consumables and Other Costs" the applicant should enter the items by fiscal year and give the total cost, taking into account the following.
 - 1. Itemize the cost of consumables, such as chemicals, test animals, and glass implements.
 - 2. Itemize the travel expenses for the Principal Investigator, Co-Investigator(s) (*kenkyū-buntansha*), Co-Investigator(s) (*renkei-kenkyūsha*) and Research Collaborator(s) (such as people engaged in collecting materials, conducting the various surveys, attending meetings and presenting the research achievements). Itemize the transportation costs, accommodation costs and daily allowances for domestic and overseas travel.
 - 3. Itemize personnel expenditure and remuneration, such as honoraria, compensation, wages and salaries to Research Collaborator(s) (postdoctoral researchers, research assistants (RA), researchers belonging to overseas research institutions, and others) (such as people engaged in organizing materials, assisting in experiments, performing translation or proofreading, providing technical knowledge, distributing and collecting questionnaires and collecting information materials for research), and payments to temporary

staff agencies.

(Example: Organizing materials: [breakdown: X (number of people) × Y (number of months)] XXXX yen)

4. Itemize costs other than the above-mentioned for conducting the research [such as the costs for printing, photocopying, developing/printing, correspondence (including stamps and phone calls), transport, renting the research facilities (only where the grant-aided project cannot be conducted in the facilities of the research institution), meetings [rental of the venue and meals (excluding alcohol)], equipment rental (e.g., computers, automobiles, experimental equipment), equipment repairs, transportation other than travel, presentation of research achievements (fees for contributing to the publications of academic societies, website creation, preparation of pamphlets to publicize the research achievements, and costs of PR activities disseminating research achievements to the general public, and other matters), experiment waste disposal cost].

Moreover, it is allowed to adjust the sections to be filled in (one box per fiscal year) to fit to the amount of costs stated. However, the total length should be limited to two pages or less.