

III. Instructions & Procedures for those Intending to Apply

1. Procedures to be Completed Prior to the Application

Four matters need to be completed before the application: (1) Verification of the Eligibility to Apply, (2) Verification of the Registration of the Researcher Information, (3) Obtaining an ID and Password to Use the Electronic Application System, (4) Verification of the Restrictions on Duplicate Application.

Moreover, JSPS has decided that, from the call for proposals of FY2010 on, when applying, the applicant should login into the “Cross-Ministerial Research and Development Management System” (hereinafter called “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 “JSPS Electronic Application System for Projects Funded by Grants-in-Aid for Scientific Research” (hereinafter called “Electronic Application System”) and prepare the application documents.

Therefore, the applicant should take note that the ID and the Password he or she used in the past to login into the Electronic Application System have become invalid.

(1) Verification of the Eligibility to Apply

A qualified person should apply for a Grant-in-Aid for Scientific Research as a Principal Investigator.

Applicants should meet the requirements 1) and 2) below.

Moreover, if a qualified applicant belongs to more than one research institution, he or she can apply simultaneously from each of these research institutions. However, in that case, it is necessary to consider the rules on duplicate applications (see page 28).

In addition, JSPS Fellows and Foreign JSPS Fellows cannot apply for "Grant-in-Aid for Scientific Research".

① **At the time of the application, a person needs to be recognized by the research institution (Note) to which he or she belongs to be a researcher who meets the requirements 1) and 2) below, and needs to be a researcher whose Researcher Information has been registered in e-Rad as “Eligible to Apply for Grants-in-Aids for Research”.**

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. It also includes persons who are mainly involved in job duties other than research activities)

2) The researcher should actually be engaged in research activities at the research institution in question (excluding research assistant)

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)

(Reference) Requirements that need to be met by the research institution

Requirements

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

② A person should not fall under “Not eligible for receipt of funding” in FY2010, because he or she committed fraudulent use, fraudulent receiving of grants or fraudulent acts of/with Grants-in-Aid for Scientific Research or other competitive funding.

In addition, in case it is deemed inappropriate for the research activity to be conducted as an activity of the research institution in question, at the discretion of the research institution to which the applicant belongs, it may happen that it does not recognize an application as a research institution, and it may happen that an application for funding of a Grant-in-Aid for Scientific Research is refused, because the application for funding by a researcher is not recognized. This may happen even if the researcher information of the researcher in question has been registered in e-Rad as “Eligible to Apply for Grants-in-Aids for Research”.

(2) Verification of the Registration of the Researcher Information in e-Rad

A Principal Investigator who tries to apply for research categories for which a call for proposals is organized this time should be a person who is eligible to apply at the time of the deadline for the submission of the application documents, and should be a person whose researcher information is registered in e-Rad as “Eligible to Apply for Grants-in-Aids for Research”.

Therefore, **when applying, it is necessary to first perform a verification of the content of the registration in e-Rad.**

However, for the registration in e-Rad, the applicant does not need to perform the procedures directly with the MEXT, but the Principal Investigator should verify the registration procedures that the research institution to which he or she belongs needs to perform (the registration deadline within the research institution, methods of verification of the current state of the registration, etc.)

with the research institution to which he or she belongs, because the research institution to which he or she belongs needs to perform the procedures using e-Rad. (if there is any item (such as “the institution”, “the position”, or others) that needs to be corrected, even though he or she has already been included in e-Rad of the research institution, the applicant needs to register the correct information on e-Rad.)

(3) Obtaining an ID and a Password to Use the Electronic Application System

When applying, it is necessary to login into e-Rad, to access the Electronic Application System, and to prepare the application documents.

Therefore, the applicant should first be **provided with an ID and a password for e-Rad** by the research institution.

Moreover, once the ID and the password have been provided they can be used, unless the research institution changes. (This does not apply when the password is altered.) In addition, Researchers who already obtained an ID and a password issued by e-Rad do not need to obtain it again.

(4) Verification of the Restrictions on Duplicate

① Restrictions on Duplication in the Basic Policy

In the Grants-in-Aid for Scientific Research different “Research Categories” and “Screening Divisions” have been made, based on the scale of the research, the content, and other factors, This makes it possible to apply for research projects that meet the demands of various research forms.

On the other hand, taking into consideration the necessity to support many excellent researchers with limited resources, the danger of negatively affecting the operation of proper reviewing by an increase in the number of applications, and other elements, “Rules for Restrictions on Duplication” have been set up, based on the following fundamental principles.

- ① Making sure that as many excellent researchers as possible are supported with limited resources.
- ② Making sure that the number of applications does not increase dramatically, based on the reviewing system of each research category.
- ③ When setting up restrictions, primarily making the Principal Investigator who bears all responsibility eligible for the implementation of research projects, but also making the Co-Investigator (*kenkyū-buntansha*) eligible in some cases, for example, if the amount of funds in a research category is large.
- ④ Based on the fundamental principles outlined above, taking into consideration the purpose, character, and other elements of the “Research Categories” of the Grants-in-Aid for Scientific Research, and setting up restrictions on duplication separately, by making a distinction between the restrictions on application or restrictions on receiving of funds.

Moreover, restrictions on duplication have also been established in the research categories for which a call for proposals is organized this time. Therefore, when applying, the applicant should sufficiently verify the description below and the “Table of Restrictions on Duplication” showed on p.36-p.41.

② Restrictions on Duplicate Applications

- 1) Cases where a researcher tries to apply as the “Principal Investigator” for two research projects.
 【Type “Principal Investigator→Principal Investigator”】 (see page 36)

Consequently, he or she cannot make more than one application for one and the same research category (screening division) at the same time (**In case he or she has a continued research project, he or she cannot apply for a new research project in one and the same research category (screening division)**).

(cases that fall under “—” in the table)

In case one researcher tries to make a duplicate application for two research projects, as the Principal Investigator for both, the following restrictions on duplicate applications of the type from A to E below apply.

However, this does not apply in case of an “Application for a grant for the fiscal year before the final fiscal year of a research project” (See “Special cases in the restrictions on duplicate applications”, page 35).

A Cases where a researcher can only apply for one research project.
 (cases that fall under “×” in the table)

B Cases where a researcher cannot apply for a new research project, because he or she is implementing a continued research project.
 (cases that fall under “▲” in the table)

C Cases where a researcher can apply for both research projects, but, if both are adopted, he or she can only implement the research of one research project, as laid down in the rules.

(For “■” in the table, the research categories in the section A are given priority
 For “□”, the research categories in the section B are given priority)

D Cases where a researcher can apply for both research projects, but, if both are adopted, the researcher who applied has to decide which one he or she will implement.
 (cases that fall under “※”))

E Cases where, as a general rule, duplicate applicants are not recognized, but where a researcher can apply for both research projects, only if the conditions added below are met.

(If a researcher applies as a Principal Investigator for “Scientific Research”, screening division “Overseas Academic Research”, as a general rule, he or she cannot apply as a Principal Investigator for “Scientific Research”, screening division “General” However, except in cases where it is necessary to conduct individually two research projects which clearly differ in objective, plan or methodology within the same fiscal year.
 (cases that fall under “★” in the table))

2) Cases where a researcher who applies as the Principal Investigator tries to participate as the Co-Investigator (*kenkyū-buntansha*) of another research project.
【Type “Principal Investigator→Co-Investigator (*kenkyū-buntansha*)”】 (see page 38)

In case one researcher applies as the Principal Investigator for a certain research project and at the same time also tries to participate as the Co-Investigator (*kenkyū-buntansha*) of another research project, or, in case a researcher who has already become the Principal Investigator of a certain research project also tries to participate as the Co-Investigator (*kenkyū-buntansha*) of another research project, he or she can normally apply for both projects.

However, for a part of the research categories, mainly Specially Promoted Research, Scientific Research on Innovative Areas (Research in a Proposed Research Project), Challenging Exploratory Research, etc., there are restrictions on duplicate applications of the type from A to C below.

- A Cases where a researcher can only apply for one research project.
(cases that fall under “×” in the table)
- B Cases where a researcher cannot apply for a new research project, because he or she is implementing a continued research project.
(cases that fall under “▲” in the table)
- C Cases where a researcher can apply for both research projects, but, if both are adopted, he or she can only implement the research of one research project, as laid down in the rules.

〔 For “■” in the table, the research categories in the section A are given priority
For “□”, the research categories in the section B are given priority 〕

Moreover, restrictions when completing an “Application by the Principal Investigator of Challenging Exploratory Research as the Co-Investigator (*kenkyū-buntansha*) of Scientific Research on Innovative Areas (Research in a Proposed Research Project)” or an “Application by the Co-Investigator (*kenkyū-buntansha*) of Scientific Research on Innovative Areas (Research in a Proposed Research Project) as the Principal Investigator of Challenging Exploratory Research” have been established from the Procedures on the Call for Proposals FY2010 on. However, in case a researcher has already started research entailing this combination in FY2009, or before that (i.e. before the notification of the current Procedures on the Call for Proposals), he or she can continue both research projects without change.

3) Cases where a researcher who participates in research as the Co-Investigator (*kenkyū-buntansha*) tries to apply as the Principal Investigator of another research project.
【Type “Co-Investigator (*kenkyū-buntansha*)→Principal Investigator”】 (see page 40)

In case one researcher tries to participate as the Co-Investigator (*kenkyū-buntansha*) for a certain research project and at the same time also applies as the Principal Investigator of another research project, or, in case a researcher who has already become the Co-Investigator (*kenkyū-buntansha*) of a certain research project also applies as the Principal Investigator of another research project, he or she can normally apply for both projects.

However, for a part of the research categories, mainly Specially Promoted Research, Scientific Research on Innovative Areas (Research in a Proposed Research Project), etc., there are the same restrictions on duplicate applications as in point 2).

- 4) Cases where a researcher who participates as the Co-Investigator (*kenkyū-buntansha*) of a research project also tries to participate as the Co-Investigator (*kenkyū-buntansha*) of another research project.
 【Type “Co-Investigator (*kenkyū-buntansha*)→Co-Investigator (*kenkyū-buntansha*)”】 (see table below)

In case one researcher tries to participate as the Co-Investigator (*kenkyū-buntansha*) for a certain research project and at the same time also tries to participate as the Co-Investigator (*kenkyū-buntansha*) of another research project, or, in case a researcher who has already become the Co-Investigator (*kenkyū-buntansha*) of a certain research project also tries to participate as the Co-Investigator (*kenkyū-buntansha*) of another research project, he or she can normally apply for both projects.

However, for a part of the research categories, mainly Specially Promoted Research, Scientific Research on Innovative Areas (Research in a Proposed Research Project), etc., there are the following restrictions on duplicate applications.

A For Specially Promoted Research, a researcher cannot participate in two research projects as the Co-Investigator (*kenkyū-buntansha*). In addition, in case a researcher has already become the Co-Investigator (*kenkyū-buntansha*) of Specially Promoted Research, he or she cannot participate as the Co-Investigator (*kenkyū-buntansha*) of other Specially Promoted Research either.

B A researcher cannot apply as the Co-Investigator (*kenkyū-buntansha*) of both Specially Promoted Research and Scientific Research on Innovative Areas (Research in a Proposed Research Project). Only one of both applications will be accepted. In case a researcher has already become the Co-Investigator (*kenkyū-buntansha*) of Specially Promoted Research, he or she cannot participate as the Co-Investigator (*kenkyū-buntansha*) of Scientific Research on Innovative Areas (Research in a Proposed Research Project). (Moreover, conversely, in case a researcher has already become the Co-Investigator (*kenkyū-buntansha*) of Scientific Research on Innovative Areas (Research in a Proposed Research Project), participating as the Co-Investigator (*kenkyū-buntansha*) of Specially Promoted Research is not recognized either.)

Moreover, these restrictions have been established from the Procedures on the Call for Proposals FY2010 on. However, in case a researcher has already started research entailing this combination in FY2009, or before that (i.e. before the notification of the current Procedures on the Call for Proposals), he or she can continue both research projects without change.

C A researcher who has become the Co-Investigator (*kenkyū-buntansha*) of Grant-in-Aid for Creative Scientific Research can apply for research projects in which he or she participates as the Co-Investigator (*kenkyū-buntansha*) of Specially Promoted Research. However, if both are adopted, only the implementation of the Co-Investigator (*kenkyū-buntansha*) of Specially Promoted Research is recognized.

(Reference) Type “Co-Investigator (*kenkyū-buntansha*) (continued/new) (section A) → Co-Investigator (*kenkyū-buntansha*) (section B)”

This table shows the restrictions on duplication in case “a person who tries to participate in a research project mentioned in section A as the Co-Investigator (*kenkyū-buntansha*), or a person who has already become the Co-Investigator (*kenkyū-buntansha*)” participates to a research project mentioned in section B as the Co-Investigator (*kenkyū-buntansha*).

Section A \ Section B		Specially Promoted Research		Scientific Research on Innovative Areas (Research a proposed research project)	
		New • <i>buntansha</i>		New • <i>buntansha</i>	
Specially Promoted Research	New	<i>buntansha</i>	×	×	
	Continued	<i>buntansha</i>	▲	▲	
Grant-in-Aid for Creative Scientific Research	Continued	<i>buntansha</i>	□		
Scientific Research on Innovative Areas (Research a proposed research project)	New	<i>buntansha</i>	×	×	
	Continued	<i>buntansha</i>	▲	▲	

Blank cell: The researcher can apply for both research projects.

×: The researcher can only apply for one research project (in case he or she applied for a research project mentioned in section A, he or she cannot apply for a research project mentioned in section B).

▲: The researcher cannot apply for a research project mentioned in section B (He or she only implements the research of a continued research project mentioned in section A).

□: The researcher can apply for both research projects. However, in case both are adopted, he or she only implements the research of the research project in B.

③ Restriction Rules on the Receiving of Grants

Among the Restrictions on Duplicate Applications, the handling of cases that fall under the category “A researcher can apply for both research projects. However, in case both are adopted, he or she can only implement the research of one research project”.

1) On the rules in case both applications that fall under “■” or “□” are adopted

A In cases of “Principal Investigator” and “Principal Investigator” (cases of Principal Investigator of Specially Promoted Research and Principal Investigator of other research categories, etc.), as a result of the restrictions on duplicate applications, a researcher should abandon (or should decline to accept) the research project he or she does not implement, if he or she can only implement the research category mentioned in section A or section B, as laid down in the rules.

However, for research projects of the research categories “Scientific Research on Priority Areas” (Planned Research) or “Scientific Research on Innovative Areas (Research in a Proposed Research Area)” (Planned Research), it may happen that the implementation of the research through a replacement of the Principal Investigator is recognized, in “cases where it is recognized that the research of the area or the research project in question can be continued

by a person from among the Co-Investigator(s) (*kenkyū-buntansha*) who can replace the Principal Investigator”.

- B As a result of the Restrictions on Duplicate Applications of Principal Investigators of Specially Promoted Research and Co-Investigators (*kenkyū-buntansha*) of other research categories, a researcher should cease being a “Co-Investigator (*kenkyū-buntansha*)” for research projects other than Specially Promoted Research, if he or she can only implement a research project of Specially Promoted Research (as the Principal Investigator).

Moreover, if he or she ceases being the “Co-Investigator (*kenkyū-buntansha*)”, he or she should abandon (or should decline to accept) research projects of which he or she cannot continue the research.

- C As a result of the Restrictions on Duplicate Applications in case of Co-Investigators (*kenkyū-buntansha*) of Specially Promoted Research and Principal Investigators of other research categories, a researcher should abandon (or should decline to accept) research projects he or she does not implement, if he or she can only implement a research project of Specially Promoted Research (as Co-Investigator (*kenkyū-buntansha*)).

However, for research projects of the research categories “Scientific Research on Priority Areas” (Planned Research) or “Scientific Research on Innovative Areas (Research in a Proposed Research Area)” (Planned Research), it may happen that the implementation of the research through a replacement of the Principal Investigator is recognized, in “cases where it is recognized that the research of the area or the research project in question can be continued by a person from among the Co-Investigator(s) (*kenkyū-buntansha*) who can replace the Principal Investigator”.

- D As a result of the Restrictions on Duplicate Applications of Co-Investigators (*kenkyū-buntansha*) of Specially Promoted Research and Co-Investigators (*kenkyū-buntansha*) of Grant-in-Aid for Creative Scientific Research, a researcher should cease being a “Co-Investigator (*kenkyū-buntansha*)” for research projects of Grant-in-Aid for Creative Scientific Research, if he or she can only implement a research project of Specially Promoted Research (as the Co-Investigators (*kenkyū-buntansha*)).

Moreover, if he or she ceases being the “Co-Investigator (*kenkyū-buntansha*)”, he or she should abandon (or should decline to accept) research projects of which he or she cannot continue the research.

2) On the rules in case both applications that fall under “※” are adopted, but the researcher selects one of the research projects
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- A In case a researcher selects and implements a research project of “Scientific Research (S)” or “Grant-in-Aid for Young Scientists (S)”, he or she should abandon (or should decline to accept) research projects of “Scientific Research on Innovative Areas (Research in a Proposed Research Area)” (Planned Research).

However, for research projects of the research categories “Scientific Research on Innovative Areas (Research in a Proposed Research Area)” (Planned Research), it may happen that the implementation of the research through a replacement of the Principal Investigator is recognized, in “cases where it is recognized that the research of the area or the research project in question can be continued by a person from among the Co-Investigator(s) (*kenkyū-buntansha*) who can replace the Principal Investigator”.

- B In case a researcher implements a research project of “Scientific Research on Innovative Areas (Research in a Proposed Research Area)” (Planned Research), he or she should abandon

(or should decline to accept) research projects of “Scientific Research (S)” or “Grant-in-Aid for Young Scientists (S)”.

④ Other Important Points

- 1) Even if duplicate application, etc. is possible according to the rules on restriction of duplication, the researcher should consider the restrictions in case of “Situations where the applicant cannot carry out his/her responsibility as a Principal Investigator or a Co-Investigator (*kenkyū-buntansha*), due to participation in multiple research projects”. Altogether, he or she should consider the content of “Elimination of Unreasonable Reduplication and Excessive Concentration” mentioned on page 14.
- 2) Even if the application has been accepted in the Electronic Application System, it may happen in some cases that afterwards it is not accepted for reviewing, due to the Restrictions on Duplicate Applications. This may happen, for example, in case a change has taken place in the project members of continued research projects. The researcher should sufficiently verify this before the submission of the application documents.
- 3) Even when a researcher who is eligible to make applications in multiple research institutions applies at the same time from multiple research institutions separately, the restrictions on duplicated applications apply to that researcher in question (Principal Investigator or Co-Investigator (*kenkyū-bentansha*)).
- 4) When verifying the “Table of Restrictions on Duplication”, the participation form to “Summarizing Group Research Projects” in case of research categories creating research areas, etc. is special (see “Application Procedures for Grants-in-Aid for Scientific Research FY2010 (MEXT)”). Therefore, applicants should take note of the following points.
 - A The “Principal Investigator of Summarizing Group Research Projects in Scientific Research on Innovative Areas (Research in a Proposed Research Area)” should verify the relation with “Principal Investigators or Co-Investigators (*kenkyū-buntansha*) of research projects who try to make a duplicate application” in the relevant section of the “Table of Restrictions on Duplication”.
 - B The “Co-Investigator (*kenkyū-buntansha*) of Summarizing Group Research Projects in Scientific Research on Innovative Areas (Research in a Proposed Research Area)” should verify the relation with “Participation Form to General Planned Research (Planned Research Other than Summarizing Group Research Projects) (Principal Investigators and Co-Investigators (*kenkyū-buntansha*))” and with “Principal Investigators or Co-Investigators (*kenkyū-buntansha*) of research projects who try to make a duplicate application” in the “Table of Restrictions on Duplication”.
 - C Persons who participate as Principle Investigators or Co-Investigators (*kenkyū-buntansha*) to “Summarizing Group Research Projects”, “Support Group Research Projects” or “Adjustment Group Research Projects” in “Scientific Research on Priority Areas” should verify the relation with “Participation Form to General Planned Research (Summarizing Group Research Projects, Support Group Research Projects and Adjustment Group Research Projects) (Principal Investigators and Co-Investigators (*kenkyū-buntansha*))” and with “Principal Investigators or Co-Investigators (*kenkyū-buntansha*) of research projects who try to make a duplicate application” in the “Table of Restrictions on Duplication”.

- 5) In case the continued research project which needs to be abandoned according to the restriction on the receiving of grants ① has FY2010 as the final fiscal year, and ② has been selected before FY2008, the Principal Investigator should submit a report on the research achievements (a working paper) and other matters related to the research project in question between June 20 and June 30, 2011 (except for “Challenging Exploratory Research”).

⑤ **Special cases in the restrictions on duplicate applications (Application for a grant for the fiscal year before the final fiscal year of a research project)**

- 1) When a Principal Investigator of a research project wishes to restructure the research project in the light of developments in the research in question, and the research project (continued research project) belongs to the type “Specially Promoted Research”, “Scientific Research” or Grant-in-Aid for Young Scientists, the research period is 4 years or more, and FY2010 is the last fiscal year of the research period, then he or she may apply for an “Application for a grant for the fiscal year before the final fiscal year of a research project”.

Moreover, based on one continued research project, the number of projects a researcher can make a new application for is limited to one.

- 2) The research categories for which new applications may be made, as “Application for a grant for the fiscal year before the final fiscal year of a research project”, are “Specially Promoted Research”, and “Scientific Research”. However, the only research category for which a new application can be made, based on research projects of the category “Grant-in-Aid for Young Scientists (S/A/B)”, is “Scientific Research”.
- 3) The restrictions on duplicate applications do not apply to cases where there is, on the one hand, a new application for a research project of the type “Application for a grant for the fiscal year before the final fiscal year of a research project” and, on the other hand, a continued research project on which the new application is based.

However, the restrictions on duplicate applications do apply to cases where there are, on the one hand, these projects and, on the other hand, other research projects under the supervision of the same Principal Investigator for which an application has been made (including continued research projects).

- 4) When the research project for which a new application has been made is selected, the grant of FY2009 for the continued research project on which the new application is based will, as a general rule, not be paid. Even in case when the grant has been paid, the full amount of the grant should be refunded. For this reason, the proposal for grant-in-aid for a research project for which a new application is made should include a part of the budget necessary for the implementation of the continued research project for FY2009.

Moreover, in this case, the Principal Investigator should submit a report on the research achievements (a working paper) and other matters related to the continued research project in question between June 20 and June 30, 2011. Therefore, he or she should include the budget for the report, etc. in question, when completing the preparations.