

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

FY2009

Grant-in-Aid for Young Scientists (Start-up)

March 3, 2009

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

## **Introduction**

The “Grant-in-Aid for Young Scientists (Start-up)” was established in FY2006 in order to make it possible for suitably well-qualified young scientists who have recently obtained employment as a scientist to receive the support of a Grant-in-Aid for Scientific Research, in the most crucial period when they are supposed to devote themselves to research.

In the call for proposals for FY2009 the Ministry of Education, Culture, Sports, Science and Technology decided to organize a call for applications that is also open to individuals who are eligible to apply for a “Grant-in-Aid for Special Purposes (pluriannual application)”, for which a call and reception of proposals has been organized in the same period as for the current research category. Eligible to apply are (1) individuals who became eligible to apply after the application period of November last year; (2) individuals who could not apply in November last year, because they obtained maternity leave before and after childbirth or child-care leave in FY2008. This call for applications is based on the viewpoint that it is necessary to carry out research promotion swiftly and agilely.

Moreover, the change is being implemented based on the “Direction of the Policy that Needs to Be Followed for Grants-in-Aid for Scientific Research in the Immediate Future”, which has been compiled by the Sectional Meeting for Research Funds of the Academic Subcommittee Meeting of the Academic Deliberation Council for Science and Technology in July 2008.

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The Supplementary Volume has the following contents. Please use it for reference.

Supplementary Volume

### **Application Procedures for Grants-in-Aid for Scientific Research for FY2009 (Grant-in-Aid for Young Scientists (Start-up)) (Application Forms and Data Entry)**

#### **Forms to be Prepared by the Researcher**

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

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) (Grant-in-Aid for Young Scientists (Start-up)) 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 (Items to be entered in the attached file)

Form S-1-17: Proposal for grant-in-aid “Grant-in-Aid for Young Scientists (Start-up)” Preparation and data entry of application information (new)

Proposal for grant-in-aid “Grant-in-Aid for Young Scientists (Start-up)” (new) form

# I Details of the Call for Proposals

## **1. Research Categories for which a Call for Proposals is Organized**

### **Grant-in-Aid for Young Scientists (Start-up)**

- A) Intended for:** The Grant-in-Aid for Young Scientists (Start-up) is intended for research projects that aim at ensuring opportunities for young scientists to develop independently and to contribute to their research activities. The research projects are conducted by one researcher who could not apply, because he or she just took up employment as a researcher in a research institution and, therefore, the time when he or she obtained his/her research project he or she was going to conduct for the start-up of his/her research activities, and applicant eligibility, fell after the application period of the previous year. The research projects in question have an original idea that is expected to bring forth a major development in the future.
- B) Total budget provided:** 1.5 million yen or less per year
- C) Research period:** Two years

## **2. Eligibility to Apply**

### **(1) Eligible to apply**

Three categories of individuals are eligible to receive this grant. The research institution needs to confirm that the applicant belongs to one of the below listed categories and the applicant also needs to be registered in the Researcher List for Grants-in-Aid for Scientific Research (hereinafter called “researcher list”).

- ① A person who on April 1, 2008, or later, has been employed for the first time in a research institution (cf. Note 2), based on an employment contract and with working hours that exceed 30 hours per week, as a person who can obtain eligibility to apply for a Grant-in-Aid for Scientific Research (cf. Note 1), and who became eligible to apply for a Grant-in-Aid for Scientific Research anew.
- ② A person who could not apply for a Grant-in-Aid for Scientific Research for which a call for proposals was organized in November 2008, because he or she became eligible to apply for a Grant-in-Aid for Scientific Research (cf. Note 1), on the day after October 27, 2008, or later (the day of the third deadline for registration on the researcher list).
- ③ A person who could not apply for a Grant-in-Aid for Scientific Research for which a call for proposals was organized in November 2008, because she obtained maternity leave before and after childbirth or child-care leave in FY2008.

※ People who are eligible to apply, who fall under the above-mentioned points ② or ③, and who have ever been registered on the researcher list before October 27, 2008, should submit a document mentioning the following items (in arbitrary form) not later than April 24, 2009 (Friday), 5 pm to the Scientific Research Aid Division No. 1 of the Department of Research Projects of the Japan Society for the Promotion of Science (JSPS).

1. Institute Number
2. Name of the Research Institution
3. Name of the position, name and seal of the head of the research institution
4. Researcher number of the researcher in question
5. Name of the researcher in question (Chinese characters (if applicable) and katakana)
6. The reason why the applicant was not able to apply for a Grant-in-Aid for Scientific Research for which a call for proposals has been organized in November 2008 (within 100 characters). (People to whom ③ applies, should specify the period of maternity leave before and after childbirth or child-care leave.)
7. Contact information of the chief clerk (division, section, etc., name and telephone number)

Note 1: Eligibility to Apply of Grants-in-Aid for Scientific Research (Applicants should meet all the requirements from 1) to 4) below.)

**Requirements for the researcher**

- 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)

**Requirements for the research institution**

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

Note 2: 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)

- 1) Universities and inter-university research institutions
- 2) MEXT facilities and other institutions engaged in scientific research
- 3) Technical colleges
- 4) Institutions designated by the Minister of MEXT

**Examples of people who are eligible to apply**

From the call for proposals of FY2009 on, people who are eligible to apply for this research category are people to whom 1), 2) or 3) of “A. Verification of the Eligibility to Apply ① People who are Eligible to Apply” on the previous page applies. Examples are as following.

People who fall under 1)

A person who was employed for the first time on April 1, 2008, or later, as a full-time researcher at a research institution. For example, a person who was newly employed as an assistant professor at a university, etc., could be such a case.

Moreover, if a person was employed in a research institution for more than 30 hours per week as a postdoctoral research fellow etc. before March 31, 2008, and in the meantime was not recognized as eligible to apply for a Grant-in-Aid for Scientific Research, he or she can apply for this research category.

Moreover, because this research category aims at carrying out support for the start-up of research activities to people who just took employment as a researcher at a university etc., people who before March 31, 2008, were working as a full-time researcher in a research institution do not fall under ①, even if they became eligible to apply (cf. Note 1) anew on April 1, 2008, or later.

People who fall under 1) are the same people who were targeted for “Grants-in-Aid for Young Scientists (Start-up)” until last fiscal year.

People who fall under 2)

For example, a person originally from a private-sector corporation or from abroad who was employed at a research institution, who newly obtained a researcher number, and who could not apply for the call for proposals of November last year could be such a case.

Moreover, even people who have ever been registered on a researcher list before October 27, 2008 can apply, if they meet the four requirements to become eligible to apply for a Grant-in-Aid for Scientific Research again on the next day after October 27, 2008 (the day of the third registration deadline on the researcher list), or later. For example, a person who was a research assistant at a research institution before, subsequently became a researcher at an overseas research institution, and in January 2009 was employed again as professor at a research institution could be such a case.

People who fall under 2) are the same people who were targeted for “Grant-in-Aid for Special Purposes (pluriannual application)” until last fiscal year.

### People who fall under 3)

These are people who could not apply for a Grant-in-Aid for Scientific Research for which a call for proposals was organized in November last year, because they obtained maternity leave before and after childbirth or child-care leave in FY2008. In this case, people can apply regardless of whether or not they obtained the leave in question during the period of the call for proposals for Grants-in-Aid for Scientific Research that was organized in November last year.

People who fall under 3) are the same people who were targeted for “Grant-in-Aid for Special Purposes (pluriannual application)” until last fiscal year.

### **(2) Applying researcher (Principal Investigator)**

A qualified person should apply for a Grant-in-Aid for Scientific Research as a Principal Investigator (see 4. Project Members (1), on page 5).

### **(3) Researchers who belong to more than one research institution**

If a qualified applicant belongs to more than one research institution, he or she may apply as a member of any of the institutions. In this case, it is necessary to consider the rules on duplicate applications (see page 7).

### **(4) Inclusion in a researcher list**

A Principal Investigator who wishes to apply needs to be registered in the researcher list by the prescribed deadline. (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 the researcher list of the research institution, the applicant needs to register the correct information on the researcher list.)

For the registration (renewal) in the researcher list, the person in charge of the research institution to which the applicant belongs should conduct the necessary procedures, using the Cross-Ministerial Research and Development Management System (hereinafter called “e-Rad”; for details see <http://www.e-Rad.go.jp/>). Concerning the researcher list, the Scientific Research Aid Division of the Research Promotion Bureau of the Ministry of Education, Culture, Sports, Science and Technology (MEXT) will capture and prepare information on researchers who are registered as “eligible to apply for Grants-in-Aid for Scientific Research” from the researcher information that has been registered in e-Rad by the prescribed deadline (see “Period (Deadline) for registration to the e-Rad of information on researchers” in the “Researcher List Renewal Schedule” mentioned below). The applicant should pay particular attention to the points mentioned below when conducting the registration in the researcher list.

### **Researcher List Renewal Schedule**

Period (Deadline) for registration to the e-Rad of information on researchers	Scheduled day for renewal (import) of the researcher list	
February 20, 2009 (Fri.) to <b><u>April 6, 2009 (Mon.)</u></b> 7 <sup>th</sup> Registration deadline	7 <sup>th</sup>	April 14, 2009 (Tue.)
April 7, 2009 (Tue.) to <b><u>April 16, 2009 (Thurs.)</u></b> 8 <sup>th</sup> Registration deadline <b>Registration deadline for the current call for proposals</b>	8 <sup>th</sup>	April 24, 2009 (Fri.)

- Advance procedures are necessary to use e-Rad. The research institution should address an application for registration of the research institution to the person in charge of the operation of e-Rad and, after obtaining an electronic certificate, a login ID and password, use e-Rad.
- People who are scheduled to become eligible to apply, or who are scheduled to transfer in the period starting from the day of the registration deadline for the researcher information until the day of the submission deadline for the application documents, should conduct the prescribed procedures using e-Rad by April 16, 2009, the absolute deadline for registration (renewal) in the researcher list.
- Renewal of the researcher list is conducted twice (the 7<sup>th</sup> and 8<sup>th</sup> time). If registration in the researcher list (renewal) is necessary, the entry (input) of the application information by the Principal Investigator will take place later than the “scheduled day for renewal (import) of the researcher list” (see the

above-mentioned “Researcher List Renewal Schedule”). Therefore, the registration (renewal) of the researcher information should be completed by the 7<sup>th</sup> deadline (April 6, 2009), if at all possible.

The various procedures (including the procedures generally known within the research institution) should be conducted ranking this procedure as one of the important procedures that needs to be done by the research institution, in order to avoid that this procedure becomes an obstacle to the processing of the applications within the research institution.

### **3. Appropriate Use of Grants and Other Matters**

#### **(1) Appropriate use of grants**

Grants-in-Aid for Scientific Research are funded by the tax of citizens and other sources. Researchers receiving Grants-in-Aid for Scientific Research have a duty to comply with the related laws, regulations and spending rules by researchers (subsidiary conditions), and also to use such grants appropriately. To ensure recipients comply with this requirement, we check whether no inappropriate use of the grants-in-aid will be made, when an application is made.

To facilitate the appropriate use of Grants-in-Aid for Scientific Research, research institutions to which the researchers belong are responsible for the management of the grant-in-aid. The Administrative work that each research institution is required to carry out (rules for use for institutions) is determined. The applicant should fully understand prior to the application that these rules will apply after the application is approved.

Each research institution is requested to establish a system based on the “Guidelines for the Management and Auditing of Public Research Funds at Research Institutions (implementation standards)” (decided on February 15, 2007 by the Ministry of Education, Culture, Sports, Science and Technology) and also submit reports before submitting the application documents. If the institution fails to submit the reports, we will not accept applications from any researcher belonging to that institution. (If it already submitted the report on April 1, 2008 or later, it is not necessary to submit it again.) Also, even if the reports have been submitted, Grants-in-Aid for Scientific Research may not be paid if it is judged that problems concerning any inappropriateness or insufficiency, in compliance with the “essential items” given in the Notification of the Director of Science and Technology Policy Bureau, Ministry of Education, Culture, Sports, Science and Technology, dated May 31, 2007 are not solved.

#### **(2) Disqualification (exclusion of candidates)**

No grant-in-aid will be offered, for a fixed period of time, even if the researcher is eligible to apply, when the researcher has made fraudulent use of a Grant-in-Aid for Scientific Research, has fraudulently received a Grant-in-Aid for Scientific Research, or has committed fraudulent acts (forgery, manipulation, or plagiarism of data and survey results appearing in published research achievements; the same underneath), as explained from point 1) to 7).

Also researchers who fraudulently use or receive competitive funds other than Grants-in-Aid for Scientific Research (including funds under the control of other ministries), or who commit fraudulent acts by means of these competitive funds, and therefore are excluded from receiving these funds in question, for a fixed period of time, will not receive grants-in-aid for scientific research for a fixed period of time.

Moreover, the researcher who falls in those categories may experience difficulties when applying for other competitive funds, since an outline of the inappropriate use of grants, the inappropriate reception of grants and/or the inappropriate acts in question (containing an outline of the research achievements in the research institution, the names of the people involved, the institution they belong to, the research project, the budget, the fiscal year of the research, the inappropriate content, details of the measures taken, etc.) will be provided to other bodies in charge of competitive funds, starting with the other ministries, including independent administrative legal entities and other institutions allocating grants.

- 1) When a researcher makes fraudulent use (※1) of a grant-in-aid, from 2 to 5 years starting from the next fiscal year following the fiscal year in which he or she has been ordered to refund the grant-in-aid.
- 2) Researchers who have conspired fraudulent use as in 1), for the same period as mentioned in 1).
- 3) When a researcher has not committed an intentional fault or gross negligence, but has used a grant-in-aid for scientific research for other purposes or used it in a way that violates the content of

the decision to provide the grant-in-aid for scientific research or the conditions that were attached to it, 2 years starting from the next fiscal year following the fiscal year in which he or she has been ordered to refund the grant-in-aid.

- 4) When a Principal Investigator or a Co-Investigator (*kenkyū-buntansha*) has conducted a project of which the decision of funding has been cancelled (※2) in collaboration with a Principal Investigator or a Co-Investigator (*kenkyū-buntansha*) who falls under point 1) or 3), the next year following the fiscal year in which the he or she has been ordered to refund the grant-in-aid. (This applies only to new research projects.)
  - 5) When a researcher was Principal Investigator or Co-Investigator (*kenkyū-buntansha*) of a project of which the decision of funding has been cancelled (※2), and to which a Co-Investigator (*renkei-kenkyūsha*) or a Research Collaborator who falls under point 1) has participated, the next year following the fiscal year in which he or she has been ordered to refund the grant-in-aid. (This applies only to new research projects.)
  - 6) When a researcher has fraudulently received grants-in-aid for scientific research (including people who have conspired in doing so), 5 years starting from the next fiscal year following the fiscal year in which he or she has been ordered to refund the grant-in-aid.
  - 7) When it has been established that a researcher has committed fraudulent acts (including cases where it has been established that the researcher bears responsibility for the content of a research paper/article which is connected to research achievements of which it has been established that fraudulent acts have been committed), from 1 to 10 years starting from the next fiscal year following the fiscal year in which it has been established that the fraudulent acts in question have been committed.
- ※1 “fraudulent use” is use of a grant-in-aid for scientific research for other purposes or use that violates the content of the decision to provide the grant-in-aid for scientific research or the conditions that were attached to it, caused by intentional fault or gross negligence.
- ※2 “a project of which the decision of funding has been cancelled” is a project of which the decision to provide a grant-in-aid for scientific research has been cancelled, according to the rules No. 1 and No.17 of the “Law on Optimizing Implementation of Budgets Relating to Subsidies”.

### (3) Treatment in case of infringement of related laws

When a research project has been implemented, by violating related laws, guidelines, etc., for example when the content which is entered in the application documents is false, it is possible that the provision of the grant-in-aid is not carried out or cancelled.

## 4. Project Members

Principal Investigators are members of funded project, as stipulated in the Law on the Improvement of the Administration of the Budget for Grants-in-Aid (1955, Law no. 179), and in case they commit inappropriate use of the grants-in-aid or the like, their applicant eligibility will be suspended (i.e. they will be excluded from provision of grants-in-aid) (see pages 4-5).

### (1) Principal Investigator

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.

### (2) Research Collaborator

A Research Collaborator is somebody who cooperates in the implementation of a research project other than the Principal Investigator. 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 (university, college, etc.), a researcher from a company who is not qualified for application, etc.)

## **5. Budget**

### **(1) Eligible costs (direct costs)**

The eligible costs are the costs necessary for the implementation of the research project and the costs necessary for the summarizing of the research achievements. For direct costs like “travel expenses”, “personnel (technical assistant, labor cost, etc.)”, “miscellaneous”, (Supplementary Conditions 2-2).

※In case of research projects where in any of the fiscal years any of the costs like “equipment”, “travel expenses” or “personnel (technical assistant, labor cost, etc.)” 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:

- 1) 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)
- 2) Costs for purchasing equipment with which the research institution normally should be equipped
- 3) Costs for handling accidents or disasters that occurred during the implementation of funded project
- 4) 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, the research categories for which a call for proposals is organized, indirect costs are paid for “Grant-in-Aid for Young Scientists (Start-up)”. However, the Principal Investigator does not need to state those indirect costs in the application documents.

### **(3) Important points on the use of grants-in-aid**

Upon application a package plan throughout the research period should be prepared and submitted. However, after the research project is adopted, it will be handled as a project which is funded for each fiscal year during the research period in question. For example, a grant-in-aid for scientific research cannot be used to pay costs in a fiscal year which falls outside the fiscal year(s) in which the funded project should be carried out.

Moreover, when it can be expected that the funded project will remain unfinished within the fiscal year, due to reasons beyond the control of the applicant(s), which could not be foreseen at the time it was decided to grant the funding, the costs in question can be carried over to the next fiscal year, provided that a request for approval for the carry-over is submitted to the Finance Minister through the Minister of Education, Culture, Sports, Science and Technology (MEXT), and the approval from the Finance Minister is obtained.

## **6. Ineligible Research Projects**

The following research projects are not eligible:

- 1) Research projects which merely aim at purchasing ready-made research equipment.
- 2) Research projects which aim at producing large-size research equipment and similar things which should be funded by other budgets.
- 3) 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).
- 4) Funded research which is carried out as commercial business.
- 5) Research projects with a budget of less than 100,000 yen in any of the fiscal years of the research period.

## **7. Selection of the Desired Area for Screening**

When applying, please make sure to select one area you wish to have screened from the following 8 areas, and one research field which you think is the most closely related to your research project from Attached Table 2 “List of Categories, Areas, Disciplines and Research Fields for FY2009 Grants-in-Aid for Scientific Research” (see pages 15-17).

Desired area for screening	Humanities and Social Sciences	Science and Engineering	Biological Sciences
	1) Humanities, 2) Social Sciences	3) Mathematical and physical sciences, 4) Chemistry, 5) Engineering	6) Biology, 7) Agricultural sciences, 8) Medicine, dentistry, and pharmacy

## 8. Handling of Duplicate Applications (Restrictions on Duplicate Applications)

- (1) Only one person can be a Principal Investigator of one research project (in the same screening panel / screening division)
- (2) Restrictions on duplicate applications with other research categories
  - 1) People who obtained an informal decision to grant the funding as a Principal Investigator of the research categories “Specially Promoted Research” (continued research project), “Scientific Research on Priority Areas”, “Scientific Research on Innovative Areas” (Research in a Proposed Research Area and Research in a Proposed Research Project), “Scientific Research (S)” (continued research project), “Scientific Research (A), (B), (C)” (including grants adopted through applications that are organized more than once a year), “Challenging Exploratory Research”, “Grant-in-Aid for Young Scientists (S)” (continued research project), “Grant-in-Aid for Young Scientists (A), (B)”, or “Grant-in-Aid for Creative Scientific Research” for FY2009, and who are about to receive funding, cannot apply for this research category. (This also includes people who are scheduled to become Principal Investigator due to a change of the Principal Investigator after the informal decision to grant the funding.)
  - 2) People who applied as a Principal Investigator of the research categories “Specially Promoted Research”, “Scientific Research on Innovative Areas”, “Scientific Research (S)” or “Grant-in-Aid for Young Scientists (S)” can apply for this research category. However, if the research project of the research categories “Specially Promoted Research”, “Scientific Research on Innovative Areas”, “Scientific Research (S)” or “Grant-in-Aid for Young Scientists (S)” under application is adopted, the grant for this research category will not be delivered.
  - 3) People who applied for a “Grant-in-Aid for Scientific Research (Encouragement of Scientists)” (\*) can apply for this research category, if they became eligible to apply for a “Grant-in-Aid for Young Scientists (Start-up)” in the time interval between April 2, 2009 and the submission period of the application documents. However, if the grant for “Encouragement of Scientists” is adopted, and in addition this research category is adopted, they should discontinue the use of the grant for “Encouragement of Scientists” that already has been provided immediately after the receipt of the notification of the informal decision to provide the grant for this research category, and conduct the procedures for the return of the grant.
- \* “Encouragement of Scientists” is research which an employee of an educational or research institution, a company staff member, or other people engaged in research conducts alone.
- 4) JSPS Fellows and Foreign JSPS Fellows cannot apply for all categories of "Grant-in-Aid for Scientific Research".

However, if a “JSPS Fellow” or a “Foreign JSPS Fellow” became eligible to apply for a “Grant-in-Aid for Young Scientists (Start-up)” (loss of eligibility for “JSPS Fellow” or “Foreign JSPS Fellow”) in the time interval between April 2, 2009 and the submission period of the application documents, he or she can apply for this research category. However, if this research category is adopted, he or she should discontinue the use of the “Grant-in-Aid for JSPS Fellows” that already has been provided immediately after the receipt of the notification of the informal decision to provide the grant, and conduct the procedures for the return of the grant.

- (3) Even if the application completed using the electronic application system has been accepted, it may be excluded from screening afterwards, according to the restrictions on duplicate applications.
- (4) 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*)).
- (5) Please avoid 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.

- (6) In order to avoid unreasonable reduplication or excessive concentration of competitive funds, we may, to the extent necessary, share information on a part of the project description of the application between other divisions in charge of competitive funds, including other offices and ministries, independent administrative legal entities, etc, making use of the Cross-ministerial Research and Development management system (e-Rad). This way of handling is based on the “Guidelines on the Proper Implementation of Competitive Funding” (agreement of the liaison meeting of related offices and ministries on competitive funding, dated September 9, 2005). Moreover, if unreasonable reduplication or excessive concentration is found, the grant-in-aid may not be delivered.
- (7) On applications for Grants-in-Aid for Scientific Research for FY2010  
A Principal Investigator for a new research project of this research category can apply for other research categories during the next fiscal year. However, if research projects of other research categories under application are adopted, the grant for this research category will not be provided in the second year of the research period.

### **9. Schedule from Application to Receipt of Funding**

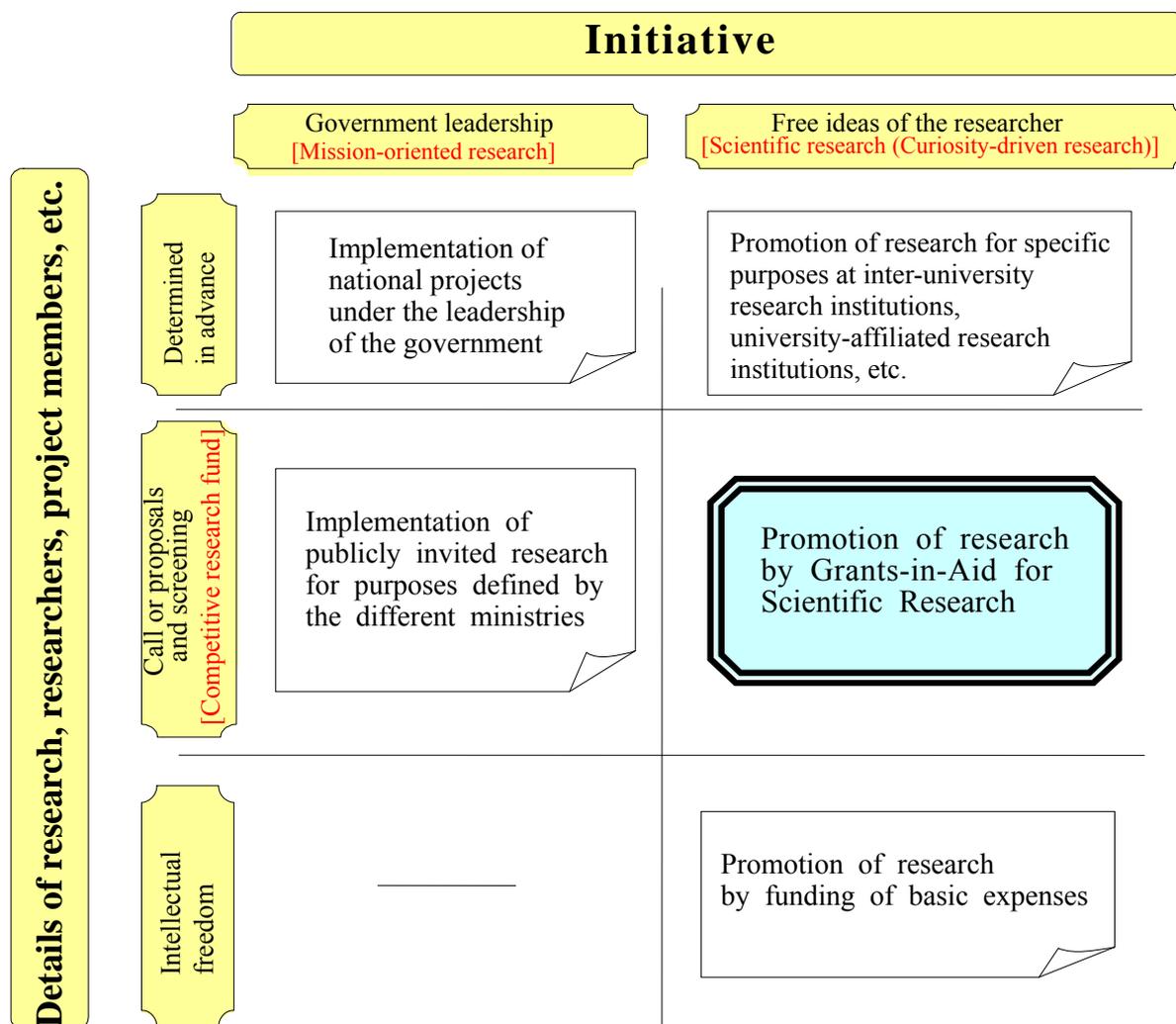
March 3, 2009:	Call for proposals (accepting applications)
April 16:	Deadline for registration of information on researchers
May 15:	Deadline for the submission of the application documents
June to August:	Screening
Late August:	Informal decision to grant the funding
Middle of September	Application for funding
Early October	Decision concerning the granting of the funding
Middle of October	Funding provided

## II. Outline of the Grants-in-Aid for Scientific Research

### 1. Purpose and Character of Grants-in-Aid for Scientific Research

Grants-in-Aid for Scientific Research are competitive funds that are intended to significantly develop all scientific research (research based on the free ideas of the researcher), from basic to applied research in all fields, ranging from the humanities and the social sciences to the natural sciences. The grants provide financial support for creative and pioneering research projects that will become the foundation of social development. The research projects are selected using a peer-review screening process (screening by multiple researchers whose field of specialization is close to that of the applicant).

Classification of the promotion of research and the positioning of the Grants-in-Aid for Scientific Research by the Government



※Grants-in-Aid for Scientific Research (193.2 billion yen) account for about 5% of the entire budget for publicly funded science and technology (approximately 3.6 trillion yen), and about 40% of the entire budget for competitive funding (approximately 481.3 billion yen).

### 2. Research Categories

For the following research categories, research institutions manage and carry out the different procedures on behalf of researchers.

Research categories, etc.	Purposes and description of the research category
<b>Grants-in-Aid for Scientific Research</b>	
Grant-in-Aid for Specially Promoted Research	Highly regarded research in the international arena that is likely to yield highly acclaimed research achievements (There is no limit to the period or budget although, as a guide, a period of three to five years and a budget of around 500 million yen per project may be awarded.)
Scientific Research on Priority Areas	Research fields that will lead to the upgrading and enhancement of scientific research in Japan; research fields that require effort on a global scale; and/or research fields that have particularly strong social demand will be specified. The objective is to flexibly and effectively plan the promotion of research. (The period is three to six year. In principle, the budget is set at around 20 million to 600 million yen per fiscal year per field.)
Scientific Research on Innovative Areas	(Research in a proposed research area) New research areas that will lead to the upgrading and enhancement of scientific research in Japan. The new research areas are proposed by one researcher or by a group of researchers, and will develop through the effort to cultivate collective research, research personnel, etc. (The period is five years. In principle, the budget is set at around 10 million to 300 million yen per fiscal year per field.) (Research a proposed research project) Innovative and challenging research that is very likely to lead to a breakthrough in academic research by the development of the research project in question. The funding is not restricted to research projects that are expected to yield certain and tangible research achievements. (The period is three years. The budget is 10 million yen per fiscal year.)
Scientific Research	(S) Creative/pioneering research done by one researcher or a relatively small group of researchers (The period is five years. The budget ranges from 50 million yen to around 200 million yen per project.) (A)(B)(C) Creative/pioneering research done by one researcher or jointly by multiple researchers (The period is three to five years.)  (A) From 20 million to 50 million yen (Classified in A, B or C, depending on the total budget provided) (B) From 5 million yen to 20 million yen (C) 5 million yen or less
Challenging Exploratory Research	Early-stage research that is based on a unique concept, that is challenging, and that sets a high goal (The period is one to three years. The budget is up to 5 million yen per project.)
Grant-in-Aid for Young Scientists	(S) Research done by one researcher aged 42 or less (The period is five years. The budget ranges roughly from 30 million yen to 100 million yen per project.) (A)(B) Research done by one researcher aged 39 or less (The period is two to four years. Classified in A or B, depending on the total budget provided.) (A) from 5 million yen to 30 million yen (B) 5 million yen or less (Start-up) Research done by one researcher who has just started employment at a research institution (The period is two years. The budget is 1.5 million yen or less per year.)
Encouragement of Scientists	Research done by one person who is an employee of an educational/research institution, a company employee, or others
Grant-in-Aid for Special Purposes	Funding of urgent and important research projects, and experimental work on research funding
Grant-in-Aid for Publication of Scientific Research Results	
Publication of Scientific Research Results	Funding of disclosure of research results with high academic value by academic societies, and of international dissemination
Scientific Periodicals	Funding of scientific journals that academic societies, either individually or within a cooperative framework regularly issue as a contribution to international scientific exchange
Scientific Literature	Funding of Scientific Literature issued by an individual or a group of researchers to disclose scientific research achievements
Databases	Funding of databases created by an individual or a group of researchers for public availability
Grant-in-Aid for JSPS Fellows	Funding of research done by JSPS Fellows, including Foreign JSPS Fellows (for a period of up to three years)
Grant-in-Aid for Creative Scientific Research	Among research supported by Grants-in-Aid for Scientific Research and others, focus is placed on the most outstanding research field. Research projects that are especially important in promoting the research field in question are selected to promote highly creative scientific research (recommendation required; for a period of five years)

### **3. The Relationship between MEXT and JSPS**

The Ministry of Education (currently, the Ministry of Education, Culture, Sports, Science and Technology) publicly recruited, screened applications and delivered grants in all of the research categories up to FY1998. In FY1999 these tasks began to be transferred to the Japan Society for the Promotion of Science (JSPS). The call for proposals, screening and funding are currently being conducted as indicated below. From here on, the transfer of these tasks will proceed gradually.

<b>Research category</b>	<b>Call for proposals and screening</b> (Main body in the preparation of the procedures for lodging applications and the location where the applications should be submitted)	<b>Funding</b> (Main body handling the criteria for selection, notice of the decision, and the location where the application forms for grants and the various other necessary documents should be submitted)
Grants-in-Aid for Scientific Research, Type 1		
Scientific Research on Priority Areas, Scientific Research on Innovative Areas, Grant-in-Aid for Special Purposes, Grant-in-Aid for Publication of Scientific Research Results (Publication of Scientific Research Results (B/C))	MEXT	MEXT
Grants-in-Aid for Scientific Research, Type 2		
Specially Promoted Research Grant-in-Aid for Young Scientists (A/B)	JSPS	MEXT
Grants-in-Aid for Scientific Research, Type 3		
Scientific Research, Challenging Exploratory Research, Grant-in-Aid for Young Scientists (S/start-up), Encouragement of Scientists, Grant-in-Aid for Publication of Scientific Research Results (Scientific Periodicals, Scientific Literature and Databases), Grant-in-Aid for JSPS Fellows, Grant-in-Aid for Creative Scientific Research	JSPS	JSPS

※ As of March 2009

### **4. Rules Relating to Grants-in-Aid for Scientific Research**

- (1) Grants-in-Aid for Scientific Research are governed by the Law on Optimizing Implementation of Budgets Relating to Subsidies (Law No. 179, 1955), the Japan Society for the Promotion of Science Law (Law No. 159, 2002), Grants-in-Aid for Scientific Research (Scientific Research, etc.) Management Procedures of the Japan Society for the Promotion of Science (Regulations No. 17, 2003), and others.
- (2) There are three types of rules for Grants-in-Aid for Scientific Research, as follows:
  - 1) Application rules: rules concerning the applications
  - 2) Assessment rules: rules concerning the preliminary assessment (screening), the interim assessment, the ex-post assessment, and the research project progress assessment
  - 3) Spending rules: rules concerning the use of the Grants-in-Aid for Scientific Research
- (3) These three sets of rules on Grants-in-Aid for Scientific Research apply as follows, according to the type of scientific research (being Grants-in-Aid for Scientific Research Type 1, Grants-in-Aid for Scientific Research Type 2, and Grants-in-Aid for Scientific Research Type 3):

	<b>Application rules</b>	<b>Assessment rules</b>	<b>Spending rules</b>
Grants-in-Aid for Scientific Research, Type 1	MEXT Procedures on the call for proposals	MEXT Rules concerning the assessment for Grants-in-Aid for Scientific Research  Screening Outline for Grants-in-Aid for Scientific Research, category "Scientific Research on Innovative Areas"	MEXT For researchers: Supplementary conditions  For research institutions: Administrative work and other tasks concerning the use of Grants-in-Aid for Scientific Research, to be performed by each research institution
Grants-in-Aid for Scientific Research, Type 2	JSPS Procedures on the call for proposals	JSPS Rules concerning the screening and assessment for Grants-in-Aid for Scientific Research (Scientific Research, etc.)	MEXT
Grants-in-Aid for Scientific Research, Type 3			JSPS For researchers: Supplementary conditions  For research institutions: Administrative work and other tasks concerning the use of Grants-in-Aid for Scientific Research, to be performed by each research institution

### III. Preparing the Application and Submitting the Application

#### **1. Application via the Electronic Application System**

When applying, applicants are required to prepare all the prescribed application documents via the JSPS electronic application system (hereinafter called “electronic application system”). Please perform the necessary procedures referring to “(2) Procedures that need to be done by researchers”, set down in “V. Application Procedures via the Electronic Application System” (pages 43-45).

#### **2. Preparing the Application Documents**

The research institution to which the Principal Investigator belongs should compile and submit all the necessary application documents.

The Principal Investigator should prepare a proposal for grant-in-aid, in accordance with the “Procedures for Preparing and Entering Application Information (to be entered in the website) (Grant-in-Aid for Young Scientists (Start-up))” and “Grant-in-Aid for Young Scientists (Start-up), Procedures for Preparing and Entering a Proposal for Grant-in-Aid”. Subsequently, the Principal Investigator should submit this proposal for grant-in-aid to the research institution to which he or she belongs.

#### **On the Proposal for grant-in-aid**

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

**First part:** The title of proposed project, the budget for which the application is made, the project members, basic data on the proposed project, etc.

Enter the application information in the electronic application system (<http://www-shinsei.jsps.go.jp/>).

**Second part:** Details on the research project including the purpose of the research, the research plan and research methods should be entered.

Download the form S-1-17 from 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”

2) A copy of the proposal for grant-in-aid in black-and-white 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. How to Apply**

##### **(1) Application schedule**

Principal Investigators should keep in mind the deadlines for all kinds of procedures that need to be done by research institutions, when carrying forward the procedures.

From early March 2009

Research institutions submit a “Application for Use of the Electronic Application System”. (JSPS issues an “ID and password”.) (It is necessary to install the Cross-ministerial Research and Development management system (e-Rad) Electronic Certificate in advance. This does not apply if the research institution already obtained them.)

From early March to early May

Research institutions issue an “ID and password” to the researchers. (This does not apply if the researcher already obtained an ID and a password.)

From early March

Researchers prepare their proposals for grant-in-aid (by entering the application information in the website and by preparing the project description file). (Entry in the website of the application information will become possible from late March. Moreover, the project description file can also be downloaded from the section Grants-in-Aid for Scientific Research of the JSPS website even before obtaining an ID and password.)

**Friday, May 15**

**Deadline for applications** (See (3) below)

**(2) Application documents and How to submit**

Research category	Proposal for grant-in-aid	
	First part	Second part
	Application information (to be entered in the website)	Project description file
Grant-in-Aid for Young Scientists (Start-up)	To be entered in the electronic application system	S-1-17

**(3) Deadline for submission**

The Principal Investigator should submit (send) the application documents to the research institution he/she belongs to, by the deadline decided the research institution. (Even if they are submitted directly to JSPS, we will not accept them.)