

III. Instructions & Procedures for those Intending to Apply

1. Procedures to be Completed Prior to the Application

Three 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.

(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 from either of these research institutions. However, in that case, he or she cannot make more than one application for a Grant-in-Aid for Research Activity Start-up as a Principal Investigator.

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

Students, such as, for example, graduate students, cannot apply for Grants-in-Aid for Scientific Research. (See note.) Therefore, applicants should bear in mind that, students cannot apply, even if they hold a position in which they conduct research activities in the research institution to which they belong or in another research institution.

(Note) Persons who have a position consisting of conducting research activities in the research institution to which they belong, as their main work (e.g., university teaching staff, researchers from companies, etc.), and who also have a student status are not included in the term "student".

- 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) , 2) and 3) below, and needs to be a researcher whose Researcher Information has been registered in e-Rad as “Eligible to Apply for Grants-in-Aid 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. Moreover, it is not necessary for the researcher to perform these research activities as such as his or her main duty.)

2) **The researcher should actually be engaged in research activities at the research institution in question**(This does not apply to cases where he or she is only engaged as a research assistant.)

3) **The researcher is not a graduate student or any other category of student.** (However, this does not apply to persons who have a position consisting of conducting research activities in the research institution to which they belong, as their main work (e.g., university teaching staff, researchers from companies, etc.), and who also have a student status.)

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

(Reference) Requirements that need to be met by the research institution (see page 75)

Requirements

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

- ② **A person should not fall under “Not eligible for receipt of funding” in FY2013, 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.**

Persons who are employed through KAKENHI (hereinafter called “research grant employees”), as a rule, need to concentrate on work related to a KAKENHI at their place of employment (hereinafter called “employment related work”) according to their employment contracts. Therefore, considering the working hours they need to allot to the employment related work, they cannot apply for KAKENHI themselves.

However, if they provide a clear explanation on the time they can spend besides their employment related work, and if during this time they themselves attempt to conduct research using a KAKENHI, on their own initiative, it is possible for them to apply for KAKENHI, on condition that the following points have been verified in the research institution.

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

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

- If it is judged in the research institution to which researchers belong that it is not appropriate to let them conduct their research activities as activities of the research institution in question, it may happen that the research institution does not recognize the application. It may also happen that the application for funding by these researchers in question is not recognized and that the application for funding of the KAKENHI is rejected.
- No KAKENHI will be funded, if there is a new application for Grants-in-Aid for Scientific Research from researchers who do not submit the report on the research achievements at the end of the research, without any reason, even if their research has been adopted after screening. Moreover, if researchers have failed, without good reason, to submit the scheduled report on the research achievements, then implementation of other Grants-in-Aid for Scientific Research due to be implemented in the same fiscal year will be suspended.

Persons applying for a Research Activity Start-up grant must have met the eligibility requirements (stipulated on the prior page) at the time they apply, plus they must satisfy one of the following two conditions, as confirmed by their affiliated research institution.

Requirements

A) Persons who could not apply for a research category, because they became eligible to apply for KAKENHI on the day after the application deadline (November 9, 2012) for the research categories for which the Ministry of Education, Culture, Sports, Science and Technology (MEXT) and the Japan Society for the Promotion of Science (JSPS) organized a call for proposals in September 2012.

(Examples: Persons newly employed as a researcher in a Japanese research institution on 1 April 2013; persons newly employed as a researcher in a Japanese research institution upon return from overseas.)

B) Persons who could not apply for the research categories for which the Ministry of Education, Culture, Sports, Science and Technology (MEXT) and the Japan Society for the Promotion of Science (JSPS) organized a call for proposals in September 2012, because they took up maternity leave or childcare leave in FY2012.

Note 1: Regarding A) above, if the applicant has a question as to whether s/he satisfies this eligibility conditions (including his/her data registration), s/he should ask JSPS (Research Program Department, Research Aid Division II) via his/her affiliated research institution.

Note 2: Regarding B) above, among persons satisfying this eligibility condition, those registered as “Eligible to apply for KAKENHI” in e-Rad on or before 9 November 2012 are required to submit the below-listed information to arrive at JSPS by 5 p.m., Friday, 26 April 2013 via their affiliated research institution.

1. Institution number
2. Institution name
3. Title, name and seal (ouin) of head of institution
4. Researcher’s serial number
5. Researcher’s name (kanji and katakana)
6. Reason for not being able to apply for a Grant-in-Aid recruited in September 2012 (within 100 characters), and period of maternity/infant-raising leave.
7. Contact information on cognizant administrative staff (name, division, section, telephone number)

Examples of persons eligible to apply

Persons who satisfy the eligibility requirements (stipulated on the prior page) plus one of the following two conditions:

Persons coming under A) above

1) Newly employed as a researcher in a Japanese research institution on or after 1 April 2013 (e.g., newly employed as an assistant professor). However, even if the researcher was employed in the research institution on or before 31 March 2013, s/he may apply for a Research Activity Start-up grant if during that time s/he was not eligible to apply for a Grant-in-Aid.

2) Persons who were hired at a Japanese research institution from overseas or a private company and newly acquired application eligibility and who were unable to apply for a Grant-in-Aid recruited in September of the previous year. However, persons who had application eligibility on or before 9 November 2012 but subsequently lost that eligibility and then got it back on or after the application deadline (9 November 2012) may apply for this Research Activity Start-up grant. (Example: A person who, after having been employed as a research assistant in a Japanese research institution, became a researcher at an overseas research organization, then returned to Japan to be employed as a professor in a Japanese research institution in January 2013.)

Persons coming under B) above

Regarding persons who were unable to apply for a Grant-in-Aid recruited in September of the previous year because they had taken maternity/infant-nursing leave in FY 2012. In this case, the timing of the leave; that is, whether it was taken during the application period for Grants-in-Aid recruited in September, is not questioned.

(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 KAKENHI”.

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

Regarding the registration in e-Rad, in order for the research institution to which the Principal Investigator belongs to conduct the procedures in e-Rad, he or she should verify concerning the registration procedures to be conducted by the research institution to which he or she belongs (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. (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, Researchers who already obtained an ID and a password issued by e-Rad do not need to obtain it again.

2. Verification of the Restrictions on Duplication

Before preparing the application forms, researchers who would like to apply for KAKENHI need to sufficiently verify the rules for “restrictions on duplication” in order to find out whether it is possible to apply for the research category they would like to apply for.

(1) Restrictions on Duplication in the Basic Policy

In the KAKENHI 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, if a research project falls under the concept “unreasonable reduplication” as shown in the “Guidelines on the Proper Implementation of Competitive Funding” (cf. p. 13), it is likely to be judged to be “unreasonable reduplication” in the stage of the screening. Therefore, when preparing the Proposal for Grant-in-Aid, the applicant should take this into account.

(2) Restrictions on Duplicate Applications

1) Under this call for Research Activity Start-up grants, an individual researcher may apply as the principal investigator of one research project.

2) Limit on multiple applications under this grant category

a) Persons who have applied for an Encouragement of Scientists grant under the FY2013 Grants-in-Aid program may also apply for a Research Activity Start-up grant if they are eligible to do so during the period from 2 April 2013 to the grant's application submission deadline. However, if selected for both grants, they must stop using the already-disbursed Encouragement of Scientists grant and take steps to return those funds immediately upon receipt of the Notice of Provisional Decision for the Research Activity Start-up grant.

Note: Encouragement of Scientists: Research carried out by an employee of an educational or research institution or a corporation or any other individual.

b) Persons with Fellowships under JSPS's Research Fellowships for Young Scientists or Postdoctoral Fellowships for Research Abroad are excluded from this call for Research Activity Start-up grants. However, they may apply if they are eligible to do so during the period from 2 April 2013 to the application submission deadline for the Research Activity Start-up grant. (Examples: A person who got hired as an assistant professor or a person who lost his/her fellowship eligibility during that period.) However, if selected for a Research Activity Start-up grant, the researcher must stop using the already-disbursed Grant-in-Aid for JSPS Fellows and take steps to return those funds immediately upon receipt of the Notice of Provisional Decision for the Research Activity Start-up grant.

(3) Other Important Points

1) Even when multiple applications are accepted by e-Rad, their screening may not be performed due the limitation placed on multiple grant applications.

2) When a researcher has application eligibility in multiple research institutions, s/he may apply from any of them; under this recruitment, however, s/he may only apply as the principal investigator for one Research Activity Start-up project.

3) After receiving this Research Activity Start-up project grant, one should take care not to neglect his/her responsibility as its principal investigator while participating in other research projects.

4) Regarding the call for FY2014 Grants-in-Aid applications: Principal investigators in Research Activity Start-up projects may apply for a grant under another category. If selected, however, first-year principal investigators will not receive funding for the

second year of their Research Activity Start-up project.