

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

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

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

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

(1) Application via the Electronic Application System

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

- 1) Researchers who apply as Principal Investigators, based on the “Procedures for Preparing and Entering Application Information (Items to be filled in on the form on the website) (Research Activity Start-up)”. Finally they should attach the project description file (Items to be entered in the attached file), that has been separately

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

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

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

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

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

which he or she belongs.)

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

The Principal Investigator should prepare a proposal for grant-in-aid, for **“Research Activity Start-up”, in accordance with the “Procedures for Preparing and Entering Application Information (to be entered in the website) (Research Activity Start-up)” and “FY2013 Grants-in-Aid for Research Activity Start-up, Procedures for Preparing and Entering a Proposal for Grant-in-Aid”**.

On the Proposal for Grant-in-Aid

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

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

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

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

(Paper-based applications will not be accepted.)

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

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

2) A copy of the proposal for grant-in-aid in black-and-white (gray scale) print is sent to the screening committee. Therefore, when preparing the proposal for grant-in-aid, the applicant should pay attention not to make a version of which the content becomes unclear when copied.

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

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

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

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

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

1. Whether or not it is an Ineligible Research Project

The following research projects are not eligible:

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

- D) Funded research which is carried out as commercial business.
- E) Research projects with a budget of **less than 100,000 yen** in any of the fiscal years of the research period.

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

When necessary, the Principal Investigator can set up a team of project members together with a Research Collaborator, according to the nature of the research project.

Moreover, **regarding the Principal Investigator, the research institution needs to verify whether, at the time of the application, the following requirements are met.**

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

Moreover, JSPS Fellows, Foreign JSPS Fellows and students, such as, for example, graduate students cannot become Principal Investigators.

1) Principal Investigator (The applicant)

- (A) The Principal Investigator is a member of a funded project and is the researcher who assumes full responsibility for the implementation of the research project (including the summarizing of the research achievements).

Moreover, persons who are expected to become unable to carry out their responsibility as a Principal Investigator, for example due to the loss of their applicant eligibility during the period of research, should avoid becoming a Principal Investigator. (See note.)

(Note) The Principal Investigator is the researcher who assumes full responsibility for the implementation of the research plan, and thus plays a central role. Persons who, at the time they apply, are expected to lose their eligibility to apply during the research period, due to retirement or other reasons, and thus become unable to carry out their responsibility, are requested to avoid becoming a Principal Investigator.

For this reason, replacements of Principal Investigators will not be accepted anymore.

- (B) Apart from registration in e-Rad of the information on the researchers as “Eligible to Apply for KAKENHI”, it is essential that Principal Investigators are not designated as ineligible for receipt of funding in FY2013, because they committed fraudulent use, fraudulent receipt of grants or fraudulent acts using KAKENHI or other competitive funding.

2) Research Collaborator

- (A) A Research Collaborator is somebody who cooperates in the implementation of a research

project other than the Principal Investigator.

(For example, a postdoctoral researcher, a research assistant (RA), a Fellow of the Japan Society for the Promotion of Science (JSPS Fellow), a researcher who belongs to an overseas research institution, a researcher who works for a corporation that is not recognized according to Article 2 of the Rules for the Handling of Grants-in-Aid for Scientific Research, etc.)

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

3. Whether the following requirements are met for the Budget

1) Eligible costs (direct costs)

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

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

2) Ineligible costs

The following costs are not included in the funding:

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

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

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

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

When applying, researchers must select one of the below-listed research fields as the one they want their application to be screened under. **“List of Categories, Areas, Disciplines and Research**

Fields for FY2013 Grants-in-Aid for Scientific Research” is hereafter referred to as “List of Research Fields”. (See Table 1 on pages 34-36.) Applicants should choose from among the listed research fields the one most closely related their project.

When applying for research fields tagged [A] or [B] in Table 1, it is also necessary to select [A] or [B] from Attached Table 2 “Appendix Table of Keywords” (hereinafter called “Table of Keywords”; see pages 37-73).

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