Form S-1-17

FY2017 Procedures for Preparing a Proposal for "Grant-in-Aid for Research Activity Start-up"

Applicants for KAKENHI should fill out in this proposal for Grant-in-Aid, giving details of the research project, based on the Application Procedures, and submit it to Japan Society for the Promotion of Science (hereinafter called JSPS). This proposal for Grant-in-Aid is used as **screening material** at the **JSPS Scientific Research Grant Committee**.

The applicant should fill out in the form correctly, while taking the following points into account.

When the application is adopted as a result of the screening at the Scientific Research Grant Committee, a notice of provisional decision on funding is sent. Then, the request for funding will be submitted based on the notice. A KAKENHI grant will be provided if the research plan is deemed appropriate.

Remarks

※ **This proposal for Grant-in-Aid is to be used when applying for "Grant-in-Aid for Research Activity Start-up", "New Application".**

※ **When preparing the proposal for Grant-in-Aid, the Principal Investigator should make the preparations in a responsible way, in accordance with the rules set forth in the Application Procedures.**

※ **No modifications can be made to the prescribed form.**

※ **Be sure the place the title of each entry column at the top of the page.**

※ **For each item, do not exceed the specified page limit.**

※ **You may delete the red sentences marked [※] at the top of columns.**

※ **Proposals for Grant-in-Aid prepared in English will be accepted.**

※ **Before submitting your PDF file, be sure to check whether there are any defects in the content of the amended research proposal (e.g. missing script or diagrams, garbled text).**

I. Application Information (to be filled out on the website)

The following items are "application information (to be filled out on the website)" of the "proposal for Grant-in-Aid". When preparing the application information, Principal Investigators should access to the JSPS Electronic Application System (hereinafter called "Electronic Application System") using their ID and password of e-Rad "Cross-Ministerial Research and Development Management

System, correctly " (hereinafter called "e-Rad") which has been provided by the research institution to which they belong, and directly fill out their data.

The application information (to be filled out on the website) constitutes the first part of the proposal by using the electronic application system.

In order to prepare application information (to be filled out on the website), please refer to the "FY2017 Procedures for Preparing Application Information (to be filled out on the website) ("Grant-in-Aid for Research Activity Start-up")".

(To be filled out on the website)
1. Requested Areas for Screening
2. Related Research Areas (Item)
3. Screening Sub-panel Number
4. Name of the Principal Investigator
5. Age
6. Research Institution, Academic Unit and Position
7. Academic Degree, Field of Specialization and Effort
8. Date of Acquisition of the Eligibility To Apply for Grants-in-Aid for Scientific Research (for Condition A) applicants only)
9. Period Taken for Maternity/Childcare Leave (for Condition B) applicants only)
10. Budget and Research Project Number of Grant-in-Aid for JSPS Fellows (for Condition A) applicants only)
11. Title of Proposed Project
12. Budget of Proposed Project
13. Wish for Disclosure of Screening Results

II. Project Description File (details of the downloaded file)

The following items are information about the "Project Description File (details of the downloaded file)". They constitute the second part of the proposal for Grant-in-Aid.

The Principal Investigator should download the "Project Description File" from the JSPS website for Grants-in-Aid for Scientific Research, and fill out it. The Principal Investigator should then access the "Electronic Application System", and upload the filled-out file to the "Electronic Application System". (Attaching a file 3MB or more is not admitted.)

When preparing the Overall Research Plan, the instructions in each section given below should be observed. Characters and symbols in 11-point font size or larger should be used for 1, 2, and from 4 to 8.

The margin space on the form is set at top: 20 mm, bottom: 20 mm, left side: 25 mm, right side 25 mm. If the margins are changed, there is a possibility that characters and other content will be lost when preparing your screening materials. Therefore, the settings should not be changed.

(1) The section "Purpose of the Research"

The applicant should describe "Outline" and "Body" within 2 pages.

The applicant shall indicate the general nature of the research and the specific purpose of the research, <u>after succinctly summarizing and providing an outline around 10 lines at the beginning</u>, with citing academic literature if necessary. In particular, details shall be given clearly with a focus on the following points. [Refer to the rules concerning the screening and assessment for Grants-in-Aid for Scientific Research. (cf. Application Procedures for Grants-in-Aid for Scientific Research)]

   1) Scientific background of the research (e.g., domestic and overseas trends related to the research and positioning of the research; how the applicant has reached the concept based on his or her achievements in past research work; and details of achievements of past research work where the purpose is to attain a greater level of sophistication)
   2) What will be elucidated and to what extent will it be pursued during the research period
   3) Scientific characteristics, originality and expected achievements and significance of the research in the area

(2) The section "Research Plan and Methods"

The applicant should describe "Outline" and "Body" within 2 pages.

The applicant should provide details of the research plan and the methods for achieving the objectives of the research, <u>after succinctly summarizing and providing an outline at the beginning</u>. The plan should be divided into two, the one for FY2017 and the other for FY2018 (if research plan is one year, the applicant provides only FY2017. The literature should be referred to if necessary. The plan and methods should indicate measures through consideration from multiple aspects, such as the action in the event that the research does not progress as originally planned. In addition, Specific devices for implementing the research (such as ideas and/or the assistance of Research Collaborators to advance the research effectively) should be highlighted.

(3) The section "Research Activities"

The applicant should describe within 2 pages.

The applicant should fill in the important research papers/articles, books, industrial property rights and invited lectures open to the public in chronological order from present to the past (per each year) and put the serial numbers accordingly.   <u>Forthcoming research papers/articles in academic journals</u>

may be included, only if they have been accepted for publication.

Please describe research achievements focusing primarily on the ones from 2012 onward. It is also acceptable to describe research papers or other achievements (up to ten items) which are closely related to the current research or main articles even if they were published before 2012.

    1) For a published research papers/articles, state the title, name(s) of author(s), name of journal, absence or presence of peer review, volume, page numbers of the initial and final pages and year of publication.

    2) The sequence of above items could be reversed as long as all of the items are included. If there are many authors, only state several main authors by omitting others (if any authors' names are omitted, state the number of the authors and the order on the author list). The Principal Investigator should be marked with an underline.

(4) The section "Brief Background Description of Research of the Applicant"

The applicant should describe within 1 pages.

Please State the background history of research in chronological order from present to the past, starting from the academic, occupational and research careers. Clearly indicate details of the research and noteworthy occasion(s) (e.g., awards, etc.). The applicant with Condition B) states that got maternity and/or childcare leave.

(5) The section "State of Preparations of the Research Plan and Methods to Disseminate the Research Results to Society and Citizens"

The applicant should describe about half-page. (The upper limit is 1 page)

The following points should be highlighted and stated in a concrete and clear manner.

    1) The current state of research environment, such as research facilities, equipment and materials that are used for the implementation of the research

    2) The state of preparation for starting the research, such as coordination and contact with Research Collaborators, as needed

    3) How the research achievements are disseminated to society and people.

(6) Originality of the proposed project vis-à-vis other project(s) in which the applicant is participating

The applicant should describe about half-page. (The upper limit is 1 page)

If applicants are or will participate in other research project(s), describe concretely whether the proposed project is related to the other project and, if so, describe whether it will be implemented actively with original point of view. In this case, describe the type of funding, absence or presence of employment by the funding, the research period, research theme and content, the division of roles, and other aspects of that research project. Please indicate when this is not applicable.

(7) The section "Protection of Human Rights and Compliance with the Laws and Regulations"

  The applicant should describe about half-page. (The upper limit is 1 page)

  The applicant should describe the measures and actions to take, if the research project involves necessary procedures in the related laws and regulations such as the consent and the cooperation of the other party, consideration for the handling of personal information, bioethics and safety measures.

  Above mentioned applies to surveys, researches, experiments which require an approval by an ethics committee inside and outside the research institution, such as questionnaire or interview surveys in which personal information is involved, the use of provided samples, analysis study of the human genome, recombinant DNA experiments, experiments on animals, etc. Please indicate when this is not applicable.

(8) Rationality and Justification of the Research Costs

  The applicant should describe about half-page. (The upper limit is 1 page)

  The applicant should fill in the rationality, necessity and grounds of calculating for the research costs to be stated in "9. *Details of Budget*", the following page and thereafter, based on the scale and organization of the research given in "2. *Research Plan and Methods*". If any of the costs among "equipment", "travel expenses" or "personnel expenditure and remuneration" exceeds 90% of the total of the fiscal year or "Miscellaneous" accounts for a particularly large percentage of the budget in any single fiscal year, please describe the necessity (e.g. breakdown).

(9) Details of Budget

  When making entries, it is okay to adjust the space for each cost item (however, the cost-item spaces cannot be deleted). Please enter all cost items within two pages.

Regarding research funding required by the research plan, enter by fiscal year the names of articles to be purchased under each cost item, record their amounts and also the total amount in units of 1000 yen (round down numbers to the closest 1000 yen).

1) The section "Statement of Costs for Equipment"

  If an applicant is scheduled to purchase many books and materials, he or she should describe the details, such as "Books of Political History during the Middle Ages in the West", clarifying the contents of the books and materials.   For machines and tools, not only the set of the types but also the details should be stated.

2) The section "Statement of Costs for Consumables"

  The applicant should fill out the each name such as chemicals, test animals, and scientific glassware, etc..

3) The section "Statement of Costs for Travel Expenses"

The applicant can divide travel expenses into 2 categories, domestic and overseas. Travel expenses can be used for the Principal Investigator and Research Collaborator(s) (e.g. collection of materials, various surveys, research meetings, and the publication of research achievements).Travel expenses include transportation, accommodation, and daily allowance in both overseas and domestic travel.

4) The section "Statement of Costs for Personnel Expenditure and Remuneration"

The personnel expenditure and remuneration should be stated when paid to Research Collaborator(s) (e.g. postdoctoral researchers, research assistants (RA), researchers belonging to overseas research institutions, and others) as honoraria, compensation, wages and salaries, who engage in organizing materials, assisting in experiments, translation or proofreading, providing technical knowledge, distributing and collecting questionnaires and collecting information materials for research, etc. It also should be stated if paid to temporary staff agencies.

(Example: Organizing materials: [breakdown: X (number of people) × Y (number of months)] XX1,000 yen)

5) The section "Statement of Costs for Miscellaneous"

The applicant should itemize costs other than the above-mentioned for conducting the research, for example, the costs for printing, photocopying, developing/printing, correspondence (including stamps and phone calls), transport, renting the research site (only when the grant-aided project cannot be conducted in the facilities of the research institution), conference (renting the venue, meals except for alcohol), equipment lease or rental (e.g. computers, automobiles, experimental equipment), equipment repairs, transportation other than travel expenses, presentation of the research achievements (posting fees to the publications of academic societies, website creation, brochure creation to publicize the research achievements, costs of PR activities disseminating research achievements to the general public, ,experiment waste disposal cost, etc.).

(entry example)
Cost for Equipment

FY	Item and Specifications (Unit price × qty) (Institute where equipment is to be installed)	Amount (thousands of yen)
2017	PC for data analysis, OO maker, (model number 00-00) 1 unit x 500	500
	Total	500
2018	Storage server, OO maker, 1 unit x 300 (model number ABC123) (OO University)	300
	Total	300

Cost for Travel Expenses

FY	Item	Amount (thousands of yen)
2017	Research meeting (oo University, 2 hours)	50
	Research meeting (ooo University, 1 hour)	30
	Conference presentation (Tokyo, 3 days/2 nights)	70
	Total	150
2018	Research results presentation (New York, USA, 6 days/4 nights)	300
	Total	300

Cost for Personnel Expenditure and Remuneration

FY	Item	Amount (thousands of yen)
2017	Document compiling (Breakdown: o persons, xo months)	100
	Total	100
2018		
	Total	0

(10) The section "Application for Research Funding, Current State of Funding and Effort"

When making entries, it is okay to adjust the number of lines for each cost item (however, the cost-item spaces cannot be deleted). Please enter all cost items within one page.

When filling in this column, properly enter the amount of research funding that you have already received and that is at your disposal taking into account the fact that "whether your research project

can be fully implemented without incurring the irrational duplication or excessive concentration of research funding" will be considered when screening your proposal in the collegial screening.

The Principal Investigator should state the situation of respectively "(1) research funding currently applying", "(2) research funding scheduled to be provided" and "(3) other activities" at the time of application, taking into account the following points for each research project.

・In the section "(1) research funding currently applying" and "(2) research funding scheduled to be provided", the applicant should state not only KAKENHI project but also other competitive funding schemes.

・If you have several funding resources, please add lines as required.

・The applicant should include research funding that is competitively delivered within the research institution in "(1) research funding currently applying" or "(2) research funding scheduled to be provided".

・The basic funding that is uniformly delivered within the research institution for conducting the research activities as duty does not need to be included in "(1) research funding currently applying" or "(2) research funding scheduled to be provided". However, the effort for the research activities using such funding should be filled out in "(3) other activities".

Moreover, the effort in the research project supported by KAKENHI grant in which the applicant participates as Affiliated-Investigator (*renkei-kenkyūsha*) should be stated in "(3) other activities". Further, the total efforts of "(1) research funding currently applying" and "(2) research funding scheduled to be provided" and "(3) other activities" should be 100 percent.

1) "Funding system and name of the research funding (research period and name of the funding organization)"

The applicant should describe the name of the research funding, the research period and the name of the funding organization. Moreover, <u>in the case of KAKENHI grant, he or she should only describe the research category, screening division (for Scientific Research on Innovative Areas (Research in a proposed research area, including planned research or invited research), and the research period.</u>

> (Example 1) Screening division "General" in "Grant-in-Aid for Scientific Research (C)" with a research period from FY2016 to FY2019
> →Grant-in-Aid for Scientific Research (C) (General) (FY2016 to FY2019)

> (Example 2) "Grant-in-Aid for Challenging Research (Exploratory) " with a research period from FY2017 to FY2019
> → Grant-in-Aid for Challenging Research (Exploratory) (FY2017 to FY2019)

> (Example 3) Planning Research in "Grant-in-Aid for Scientific Research on Innovative Areas (Research in a proposed research area)" with a research period from

FY2017 to FY2021

→Grant-in-Aid for Scientific Research on Innovative Areas (Research in a proposed research area) (Planned Research) (FY2017 to FY2021)

2) "Title of the research project (name of the Principal Investigator)"

The applicant should describe the title of the proposed project. Moreover, if the applicant participates as a Co-Investigator (*kenkyū-buntansha*) or suchlike, he or she should state the name of the Principal Investigator of the research project and others in parentheses.

3) "Role (Principal Investigator or Co-Investigator (*kenkyū-buntansha*))"

The applicant should describe "Principal Investigator", if the role of the researcher is Principal Investigator, and "Co-Investigator (*kenkyū-buntansha*)", if the role of the researcher is Co-Investigator (*kenkyū-buntansha*).

4) "Budget for FY2017 (throughout the period) (Unit: Thousands of yen)"

The applicant should fill out the amount of the direct cost of the research expenditure that he or she will receive and use himself/herself in FY2017 in the upper part of the page. (Budget under application should be described the applied amount.) The applicant should also describe the total amount (the expected amount) that he or she will use himself/herself during the whole research period in the lower part of the page in parenthesis.

In case the applicant is the Co-Investigator (*kenkyū-buntansha*), he or she should fill out the amount of the shared amount (the expected amount) he or she will receive and use himself/herself in FY2017 in the upper part of the page. He or she should also describe the total amount of the shared amount (the expected amount) he or she will use himself/herself during the whole research period in the lower part of the page in parenthesis. (If there is no share, he or she should fill out "0" in the respective part.)

Moreover, in case the applicant is the Principal Investigator of any category of KAKENHI, he or she should describe the total amount of the direct cost for the whole research period as well as the reason why he/she applies to Grant-in-Aid for Research Activity Start-up in addition to the research funding already obtained and the difference in contents in each research.

5) "Effort (%)"

The applicant should describe the time allocation rate (%) necessary for the implementation of each research activity. The entire working time as 100% is divided into "(1) research funding currently applying", "(2) research funding scheduled to be granted" and "(3) other activities". The "entire working time" does not mean time spent only on research activities, but the actual total working time, including educational activities and other activities.

In KAKENHI grant, the applicant should put a dash ("-") when duplicate applications are permitted

but not both of them are selected at the same time (e.g. Specially Promoted Research, etc.).

In case the principal investigator is conducting research using a competitive funding system, he or she should without fail describe the "effort" for the research activity. When the research project under application is adopted, he or she will determine the "effort" again at that time, and register it in e-Rad.

6) "Differences in details of research and reasons for additional application to Grant-in-Aid for Research Activity Start-up (In the case of a Principal Investigator of a KAKENHI, the amount to receive for the whole research period)"

The applicant should clearly describe the difference focused on the details of research between other grants under application or scheduled to be provided and Grant-in-Aid for Research Activity Start-up, as well as the reason why the applicant applies to Grant-in-Aid for Research Activity Start-up in addition to other grants.

If the applicant is the Principal Investigator of any of the category of KAKENHI, he or she should describe the total amount of the direct cost for the whole research period.