

FY2017 Procedures for Preparing and Entering a Proposal for Grant-in-Aid for “Fund for the Promotion of Joint International Research (Fostering Joint International Research)” (New)

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 the Independent Administrative Legal Entity Japan Society for the Promotion of Science (hereinafter called “JSPS”). This proposal for grant-in-aid is used as **screening material** at the **JSPS International Scientific Research Grant Committee**.

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

When the application is approved as a result of the screening at the International 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 (Fund for the Promotion of Joint International Research) will be provided if the research plan is deemed appropriate.

Remarks

- ※ **This proposal for grant-in-aid is to be used when applying for “Fund for the Promotion of Joint International Research (Fostering Joint International Research),” “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. Moreover, please refer to the Application Procedures for a definition of the Principal Investigator and the Research Collaborator.**
- ※ **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 may be prepared in English.**
- ※ **Before submitting your PDF file, be sure to check whether there are any defects in the content of your amended research proposal (e.g. missing script or diagrams, garbled text).**

I. Application Information (to be entered in the website)

The following items are “application information (to be entered in the website)” of the “proposal for grant-in-aid.” When preparing their applications, Principal Investigators should access the JSPS Electronic Application System for Projects Funded by KAKENHI (hereinafter called “Electronic Application System”) using their ID and password for the “Cross-Ministerial Research and Development Management System (e-Rad)” (hereinafter called “e-Rad”), which has been provided by the research institution to which they belong, and directly enter their data.

The application information (to be entered in the website) constitutes the first part of the proposal for grant-in-aid (PDF file) that is prepared using the electronic application system.

For procedures for preparing and entering application information (to be entered in the website), please refer to the “FY2017 Procedures for Preparing and Entering Application Information (to be entered in the website) (Fund for the Promotion of Joint International Research (Fostering Joint International Research)).”

(To be filled out on the website)

1. Requested Areas for Screening
2. Name of the Principal Investigator
3. Age
4. Research Institution, Academic Unit, and Position
5. Academic Degree, Field of Specialization, and Effort
6. Title of Proposed Project
7. Details of the Proposed Project that is Currently Adopted (Research Category, Title of Proposed Project, Research Period, Project Number, Research Field (Area) Number, Screening Sub-panel Number, Research Field (Area))
8. Scheduled Total Travel Period
9. Country and Counterpart Research Institution name of your Travel Destination and Travel Period
10. Budget for Proposed Project
11. Item to be pledged when Applying
12. Wish for Disclosure of Screening Results

II. Project Description File (items in the attached file)

The following items are information about the “Project Description File (items in the attached file).” They constitute the second part of the proposal for grant-in-aid (PDF file).

The Principal Investigator should download the “Project Description File (items in the attached file)” from the JSPS website for grants-in-aid for scientific research, fill out in. He or she should then access the “electronic application system” and attach the filled-out file to the “electronic application system.” (Files above 3 MB cannot be attached.)

When preparing the overall research plan, the instructions given below and the instructions given in each section should be observed. Characters and symbols in 11-point font size or larger should be used for (1) and (3) below.

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

(1) The section “1 Purpose and Plan of the International Joint Research (including the research content and state of progress of the root research project),” “2 Significance and Necessity of Doing Research under the International Environment, Including the Overseas Joint Researchers and Overseas Research Institutions,” “3 Role of Overseas Joint Researchers and Their Research Achievements,” “4 Research Funding Received and Achievements,” “6 Applicant’s Role in International Research Activities during and after the Project and the Ripple Effects of the International Joint Research” and “8 Rationality and Justification of the Research Costs”

The applicant should enter them in accordance with the instructions given in the proposal for grant-in-aid.

(2) The section “5 Research Achievements”

The applicant should enter them in accordance with the instructions given in the proposal for grant-in-aid. Moreover, if he or she owns intellectual property rights, including industrial property rights, he or she should state them (e.g. patent application number).

(3) The section “7 Protection of Human Rights and Compliance with Laws and Regulations”

The applicant is to describe the measures and action that s/he will take if his/her funded project includes research requiring compliance with laws and regulations (such as those activities listed below).

- When conducting research that requires social consensus (consent and/or cooperation of person involved).
- Research that requires care in the handling of personal information (e. g. protection of the confidentiality of personal information, protection of human rights).
- Research that requires work involving bioethics and safety measures (e. g. human genome/gene analysis research, research involving the handling of a specified embryo, research entailing genetic modification experiments).
- Providing technology to non-resident persons or foreign countries (including logging data in a data storage medium, sending data by e-mail), or exporting goods regulated by the Foreign

Exchange and Foreign Trade Act (Act No. 228, 1949)

Please indicate if the above is not applicable.

(4) The section “9 Details of Budget”

Please make each entry including the total cost in this section, keeping the following points in mind.

① The section “(1) Travel Expenses and Accommodation Fees”

Enter the following expenses needed for the principal investigator to carry out the research plan of the proposed research project: Cost of travelling to and staying overseas, and cost of returning to Japan after the overseas stay ends. As these costs will be paid based on the rules and procedures of the principal investigator’s affiliated research institution, when necessary, please consult the office in charge at the institution when filling out this column.

Regarding travel expenses for research activities at your overseas destination, do not enter them in this column, but put them in the “(2) Research Funding (Overseas) section.

To the extent that it does not impede your research activities at the overseas institution, you are allowed to make short visits back to Japan during your stay abroad. If such trips are necessary to carry out your project’s research plan, those travel costs can be paid.

Other expenses can also be covered, including overseas travel and accident insurance, visas and vaccines.

② The section “(2) Research Funding (Overseas)” and “(3) Research Funding (Domestic)”

If when carrying out international joint research overseas, it is also necessary to conduct research activities in Japan, the cost of that domestic research can also be funded. Therefore, please enter your overseas expenses and domestic expenses separately.

The payment of research expenses is handled in the same manner as other KAKENHI Grant-in-Aid categories (e.g. Scientific Research). This funding, however is not applicable to carrying out your current research project (root research project).

As the funds for your overseas research activities are managed by your affiliated institution in Japan, when necessary, please consult with its office in charge when filling out this column.

<Points to Keep in Mind>

- 1) Regarding costs for equipment, if the applicant is purchasing many books and materials, he or she should enter details, such as “books relating to politics during the Middle Ages in the West,” in such wording that the contents of the books and materials becomes clear. For machines and tools, not only the type but also the breakdown of each set should be stated. Equipment needed for your research activities at the overseas research institution may be purchased. Considering, however, the length of your overseas stay, please consider other

cost-efficient ways of acquiring the equipment such as renting or leasing.

However, this does not apply if your affiliated institution plans to continue using the equipment as its own property at the overseas institution after the proposed research project ends.

If equipment will be purchased for use in Japan, please describe the need for it in “8 Rationality and Justification of the Research Costs”

- 2) Regarding costs for consumables, the applicant should enter the name of each item, such as chemicals, test animals, and scientific glassware, etc..
- 3) Regarding travel expenses, the applicant should itemize travel expenses for each item, such as overseas/domestic travel expenses of the Principal Investigator, and Research Collaborator(s) (e.g. collection of materials, various surveys, research meetings, and the publication of research achievements). He or she should itemize the local transportation expenses, accommodation fees and daily allowance for overseas and domestic travel. Expenses for the principal investigator’s travel to and stay in the counterpart country are to be entered in the section “(1) Travel Expenses and Accommodation Fees.”
- 4) Regarding personnel expenditures and remunerations, the applicant should itemize honoraria, compensation, wages and salaries to Research Collaborator(s) (e.g. people engaged in organizing materials, assisting in experiments, performing translation or proofreading, providing technical knowledge, distributing and collecting questionnaires and collecting information materials for research), and payment to temporary staff agencies.
(Example: Organizing materials: [breakdown: X (number of people) × Y (number of months)]
XXXX thousand yen)
- 5) Regarding Miscellaneous, the applicant should itemize costs other than the above-mentioned for conducting the research (e.g. the costs for printing, photocopying, developing/printing, correspondence (including stamps and phone calls), transport, renting or leasing the research facilities (only where the grant-aided project cannot be conducted in the facilities of the research institution), meetings (e.g. rental of the venue and meals (excluding alcohol)), equipment rental and leasing (e.g. computers, automobiles, experimental equipment), equipment repairs, transportation other than travel expenses, presentation of the research achievements (fees for contributing to the publications of academic societies, website creation, and preparation of pamphlets to publicize the research achievements, costs of PR activities disseminating research achievements to the general public, and other matters) , experiment waste disposal cost).

③ The section “Costs of Replacement Staff”

Principal investigators may enter expense items from those listed below to secure a person(s) to substitute for them at their affiliated research institutions while they are overseas. In addition it,

to facilitate the Principal Investigator’s overseas stay, if there is a duty that cannot be carried out by his/her replacement staff for some reason, s/he may include the cost to carry out that duty at the overseas counterpart institution in the budget plan under “Expenses for Goods (equipment and consumables).” These expenses will be paid by your affiliated research institution based on its rules and procedures. When necessary, therefore, please consult the office in charge at the institution when filling out this column.

- Salary of part-time lecturer to give lectures and perform other duties in place of the Principal Investigator
- Honorarium and travel expense for inviting the part-time lecturer
- Funds for paying a part-time staff, TA or RA to support the personnel who carry out the Principal Investigator’s education, research, university committee and other duties in his/her absence.
- The cost of equipment used by the Principal Investigator in carrying out his/her duty to educate students at the counterpart institution.

The following types of expenditures are not allowed.

- The cost of computers, tables and chairs (etc.) used in preparing for lectures given by the replacement staff
- The cost of teaching aids and consumable supplies used in giving lectures by the replacement staff
- Travel costs of the replacement staff when traveling on other business such as related to entrance exams or public relations (etc.).
- If the replacement staff is a collaborating researcher in the root research project, the payment of an honorarium to him/her is not allowed.

When the cost of replacement staff exceeds 50% of the project budget, please describe the need for it in the column “8 Rationality and Justification of the Research Costs.” Even if you do not have solid plan for the use of replacement staff at the time you apply for this grant, you may still apply for this funding.

<Reference>

【Usage Examples】

	Expenses for Goods (Equipment and Consumables)	Travel Expenses	Personnel Expenditure and Remuneration	Miscellaneous
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Travel Expenses and Accommodation Fees		Enter costs classified as “Travel Expenses” under “Travel Expenses and Accommodation Fees” (e.g. transportation, lodging, per diem). *Travel between Japan and other countries and between other countries is covered.		Enter costs not included in the section “Travel Expenses” that are needed by the PI in traveling to and staying in the counterpart country (e.g. overseas travel and accident insurance, visa application costs)
Research Funding	Costs of purchasing articles and equipment needed for domestic and overseas research	Enter costs classified as “travel expenses” (Exclude the travel expenses classified as “Travel Expenses and Accommodation Fees” and “Cost of replacement staff”)	Enter costs to pay honoraria, compensation, wages, and salaries (etc.) to collaborators both overseas and in Japan, and to pay fees to worker-dispatch companies	Enter other costs not included to the left needed to carry out the research in both overseas and in Japan
Cost of Replacement Staff	Cost of equipment used by the Principal Investigator in carrying out his/her duty at the counterpart institution in the case that there is a duty that cannot be carried out by his/her replacement staff	Enter the travel cost required to invite the PI’s replacement staff (e.g. transportation, lodging, per diem)	Enter costs to pay honoraria, compensation, wages, and salaries (etc.) to PI replacement staff and to pay fees to worker-dispatch companies	Enter costs not included in the section “Travel Expenses” and “Personnel Expenditure and Remuneration” that are needed to pay the PI’s replacement staff

(5) The section “10 Application for Research Funding, Current State of Funding and Effort”

The applicant should state the situation of respectively “(1) research funding applied for,” “(2) research funding received (and scheduled to be received)” and “(3) other activities” at the time of application, taking into account the following points.

- In the section “(1) research funding applied for” and “(2) research funding received (and

scheduled to be received),” the applicant should state not only KAKENHI projects but also other competitive funding systems.

- If you have several funding resources, please make sure which is which by drawing lines.
- The applicant should include research funding that is competitively delivered within the research institution to which he or she belongs in “(1) research funding applied for” or “(2) research funding received (and scheduled to be received).”
- The basic funding that is uniformly delivered within the research institution for conducting the research activities as a job duty does not need to be included in “(1) research funding applied for” or “(2) research funding received (and scheduled to be received).” The effort for the research activities using such funding should be entered in “(3) other activities.”

Moreover, the effort in the research project supported by a KAKENHI in which the researcher participates as a *Affiliated-Investigator (renkei-kenkyūsha)* should be stated in “(3) other activities.”

- If the applicant is a Fellow of the Japan Society for the Promotion of Science (JSPS Research Fellow) (SPD, PD, RPD) and receives a Grant-in-Aid for JSPS Fellows in FY2017, he or she should enter this in “(2) research funding received (and scheduled to be received).” Moreover, the grant-in-aid that is paid monthly by JSPS (research implementation costs) should not be entered.

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

The applicant should enter the name of the research funding, the research period and the name of the funding organization. Moreover, in the case of KAKENHI, he or she should only enter the research category, screening division (for Scientific Research on Innovative Areas (Research a proposed research project), including planned research or invited research), and the research period. However, for Grant-in-Aid for JSPS Fellows, he or she should also enter the project number.

(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) “Challenging Research (Exploratory)” with a research period from FY2017 to FY2019

→Challenging Exploratory research (FY2017 to FY2019)

(Example 3) Planned 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)

(Example 4) Grant-in-Aid for JSPS Fellows with a research period from FY2016 to FY2018

→ Grant-in-Aid for JSPS Fellows (FY2016 to FY2018) 15J12345

2) “Title of the research project (name of the Principal Investigator)”

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

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

The applicant should enter “Principal Investigator,” if the role of the researcher is Principal Investigator, and “Co-Investigator (*kenkyū-buntansha*),” if he or she 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.) He or she should complete the total amount (the expected amount) that he or she will use himself/herself altogether during the whole research period in the lower part of the page in parenthesis.

Moreover, in case the applicant is the Co-Investigator (*kenkyū-buntansha*), he or she should fill in the amount of the share of expenses (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 complete the total amount of the share of expenses (the expected amount) he or she will use himself/herself altogether during the whole research period in the lower part of the page in parenthesis. (In case no share of expenses will be allotted, he or she should fill in “0” in the respective sections.)

Moreover, in case the applicant is the Principal Investigator of the KAKENHI, he or she should complete the total amount of the direct cost for the whole research period in the section “Differences in details of research and reasons for additional application for a grant for the current research project.”

5) “Effort in FY2017”

The applicant should describe the time allocation rate (%) necessary for the implementation of each research activity in FY 2017. The entire working time as 100% is divided into “(1) research funding applied for,” “(2) research funding received (and scheduled to be received)” 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. For the proposed research projects whose plan goes into effect in FY 2018, enter “0” for its effort.

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 for a grant for the proposed research project”

The applicant should clearly describe the difference focused on the details of research between other grants under application, provided or scheduled to be provided and the proposed research project, as well as the reason why the applicant applies to a grant for the proposed research project 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.