

FY2022 Procedures for Preparing and Entering a Research Proposal Document (items to be entered in the Website) (Grant-in-Aid for Scientific Research (A))

The confirmation of the content of the application and the preparation of the review material is based on the “Research Proposal Document”, which constitutes one part of the application documents. Consequently, it is possible that the information entered in the website will have an influence on the results of the review, or it is possible that the research project will not be accepted for review, because of the content entered. Therefore, the applicant should prepare the Research Proposal Document with care.

Also, a part of content entered (title of Proposed Research Project, information of project member, effort, etc.) will be provided to the e-Rad.

Please select “application information input” of the research category for which an application is made from the “List of Research Categories for which Applications are accepted”. On the screen of “application information input”, if the “Japanese ▶ English” button at the upper left of the screen is clicked, then the explanations are translated into English.

1. New proposal or continued

The applicant should select the appropriate item from among “New Proposal”.

If he/she selects “continued”, this is limited to research projects that fall under the category “research projects in which significant changes are made”. Applicant should consult in advance with the Research Aid Division I of the Research Program Department, in order to know whether the change the applicant wants to make falls under this category.

2. Research proposal submission in the fiscal year previous to the final fiscal year of the research period of an on-going research project

The applicant should select the appropriate item from among “Not Making Application” and “Making Application”.

Moreover, if the applicant selects “Making Application”, it is limited to research projects that fall under “Research proposal submission in the fiscal year previous to the final fiscal year of the research period of an on-going research project (Refer to the Application Procedures for Grants-in-Aid for Scientific Research)”. If he/she makes an application under the category “Research proposal submission in the fiscal year previous to the final fiscal year of the research period of an on-going research project”, he/she should enter the project number of the Grant-in-Aid (continued) of which FY2022 is the final fiscal year (i.e., the project number of the on-going research project on which the new application is based). Moreover, he/she should be sure to fill in the necessary information in the column “items to be filled in when making research proposal submission in the fiscal year previous to the final fiscal year of the research period of an on-going research project” of the Research Proposal Document (forms to be uploaded) he/she is preparing.

3. Section Desired the Review

In “Grants-in-Aid for Scientific Research-KAKENHI-, Review Section Table” (hereinafter referred to as “Review Section Table”), please enter a review section which you wish to be reviewed.

The section to be selected depends on the research category you apply. In addition, for Scientific Research (A), select from “Medium-sized Section.”

4. Name of the Principal Investigator

The information on Principal Investigator which has been registered in e-Rad will be automatically displayed. Principal Investigator in question should verify whether his/her name has been displayed correctly. If there is an error, please temporarily save the input data, then contact the secretariat of your research institution and follow the instructions.

5. Research Institution, Academic Unit (School, Faculty, etc.) and Position of the Principal Investigator

The information on Principal Investigator which has been registered in e-Rad will be automatically displayed. Principal Investigator should verify whether the information on his/her professional affiliation has been displayed correctly at the time he/she is preparing the Research Proposal Document. If there is an error, please temporarily save the input data, then contact the secretariat of your research institution and follow the instructions.

6. Title of the Research Project

In the column “Title of Proposed Research Project”, the applicant should enter a title for the proposed research project in a manner that the title specifically expresses the content of the research until the time of the completion of the research period. (The applicant should avoid general or abstract expressions.) Applicants should note that the entire Research Proposal Document, including the title of the research project will be reviewed and will be publicized widely in the Grants-in-Aid for Scientific Research (KAKENHI) Database (KAKEN) if the research proposal is adopted. Therefore, make sure to select a title that effectively reflects the content of your research project.

If there are only double-byte characters or double-byte and single-byte characters, you can enter up to 40 letters, and if there are only one-byte characters, up to 200 letters can be entered.

The applicant should keep in mind that voiced sound symbols (*dakuten*) and semivoiced sound symbols (*handakuten*) are not counted independently as one character, but that letters of the alphabet, numbers, symbols, etc. are all counted as one character and displayed as such. The applicant should avoid the use of chemical formulas and mathematical formulas as much as possible. (Display example Ca^{2+} → input as C a 2 + (counts as 4 characters))

As a general rule, changes in the title of the research project will not be accepted.

7. Research Abstract

The applicant should enter the purpose of the research project for which he/she applies, and the methods and other matters to achieve purpose of the research in a clear manner. It is possible to enter these in Japanese or in English. Research abstract can be entered up to 1000 bytes. (Double-byte characters are counted as 2 bytes and single-byte characters are counted as 1 byte).

8. Request for disclosure

The applicant should select the appropriate item from among “I request to be informed of comments from the reviewers: Yes” or “I request to be informed of comments from the reviewers: No”, for the results of the document review, in case his/her proposed project is not selected.

* “Disclosure” of the review results will be made only to the applicant through the electronic application system (Except for the applicant, the results cannot be viewed by anyone including the person(s) belong to the research institution).

9. Project Members List

Concerning the planned research of “Scientific Research (A)”, as the occasion demands, it is possible to involve the “Co-Investigator”, and the “Research Collaborator” in the research. For the definitions of “Principal Investigator”, “Co-Investigator”, “Research Collaborator”, please refer to the Application Procedures for Grants-in-Aid for Scientific Research.

In addition, the applicant should fill in the column “Project Members List” while keeping in mind the following points.

(1) Project Members Input (Principal Investigator)

- In the column “**Distinction**”, it will be automatically displayed as “Principal Investigator”.
- In the column “**Researcher Number**”, “**Name (Pronunciation in katakana; Kanji, etc.)**”, “**Age (as of April 1, 2022)**”, and “**Research Institution, Academic Unit (School, Faculty, etc.), Position**” of the Principal Investigator, the information on the Principal Investigator which has been registered in e-Rad will be automatically displayed. Principal Investigator should verify whether the information has been displayed correctly.
- In the column “**Academic Degree**”, Principal Investigator should fill in his/her academic degree. Enter the last educational status only.
- In the column “**Role in This Project**”, the Principal Investigator should fill in, how the Principal Investigator and the Co-Investigator(s) will cooperate to carry out the research, in a way that clarifies the respective connections between the researchers, and highlighting the allotment of research tasks in the research implementation plan FY2022. Principal Investigator should also enter those information of Co-Investigator.
- In the column “**Research Expenditure for FY2022**”, the share of the grant to the Principal Investigator and the Co-Investigator(s) should be entered in units of thousand yen, based on the research plan. Principal Investigator should also enter those information of Co-Investigator.

The total amount of all the shares of the grant to each researcher should correspond to “Research Expenditure for FY2022 (Thousand Yen)” displayed in the screen. If it does not correspond, “error” is displayed on the confirmation screen after entering.

- In the column “**Effort**”, the Principal Investigator should enter the time allocation rate (an integral number between 1 and 100), assuming that the research project for which the current application is being made would be adopted.

When determining the time allocation rate, the Principal Investigator should determine it keeping in mind the definition of “effort” by the Council for Science and Technology Policy. This definition is “the percentage of

time allocation (%) necessary for the implementation of the research in question, if the entire yearly working time of the researcher is set at 100%”. Moreover, the “entire working time” does not mean time spent only on research activities, but entire actual working time, including time spent on educational activities and other activities.

Moreover, when the research project for which the current application is being made is adopted, the Principal Investigator will be requested to confirm the effort anew at that time and to perform the procedure of formal application for grant delivery. If the effort is changed at that time, it is necessary to correct the effort in e-Rad before formal application for grant delivery.

(2) Project Members Input (Co-Investigator)

- **Concerning the entry column for the Project Members List (Co-Investigator)**, when pressing the button “Add” on the left side of the entry screen one time for every member of the project, the edit box in which the data need to be entered is displayed.

The Principal Investigator should delete edit boxes for data entry that are not being used (when he/she entered data but finally does not use them, or when he/she did not enter data at all), by pressing the button “Delete” on the left side.

The column “Number of Project Members”, displayed on the lowermost part of the screen is displayed automatically, according to the number of edit boxes for data entry.

If the number in the column “Number of Project Members” and the total number of persons for whom data have actually been entered do not correspond, “error” is displayed on the confirmation screen, the data have been entered. Therefore, the applicant should always delete edit boxes for data in which no data has been entered.

- **In the column “Distinction”**, it will be automatically displayed as “Co-I(s)”.
- **In the column “Researcher Number”, “Name (Pronunciation in katakana; Kanji, etc)”, “Age (as of April 1, 2022)”, and “Research Institution, Academic Unit (School, Faculty, etc.), Position”** of the Co-Investigator, enter the researcher number of the Co-Investigator and click on the [Search] button, his/her information will be displayed, and click [OK] button.

Since the Co-Investigator may belong to more than one research institution, please ask the Co-Investigator at first to confirm which affiliation he/she wishes to list for the application.

- **In the columns “Academic Degree” and “Effort”**, the contents which the Co-Investigator entered in the consent process of Co-Investigator will be displayed.
- **In the columns “Role in This Project” and “Research Expenditure for FY2022”**, the Principal Investigator should enter the contents. (Please refer to the column “(1) Project Members Input (Principal Investigator)” for the entry method).

[About the Consent Process of Co-Investigator]

- The consent both from Co-Investigator him/herself and his/her research institution should be given on the electronic application system to list him/her on the project members as a Co-Investigator.
- To make a request for Co-Investigators, check the checkbox at “Request” in the “Status of Consent” row and save it temporarily. The researcher registered in the field is provisionally requested to participate in the

research project as a Co-Investigator. Check the checkbox again to confirm that you want to request him/her to participate in the research project. (In addition, please contact him/her that you had made the Co-Investigator request on the system.)

- When the consent both from Co-Investigator him/herself and his/her research institution have been given, the “Status of Consent” will be changed to “Obtained the consent from the Co-Investigator” and “Obtained the consent from the institution”.
- You cannot request the researcher to become a Co-Investigator whose status of consent is “Dissented by the Co-Investigator” or “Dissented by the Institution”. Press [Delete] button on the left hand side of that column and delete the frame into which the data is being entered.
- When you request the researchers to become a Co-Investigator, **your official request should be made based on the high probability in obtaining the consent from the Co-Investigator-to-be after surely confirming the following items with the researchers.**
 - ① For this research project, the Co-Investigator has to bear responsibility for the implementation of the research project in cooperation with the Principal Investigator.
 - ② As well as the Co-Investigator understand and comply with both the KAKENHI supplementary conditions (funding conditions) and the terms stipulated in the (a), (b) and (c) below, and to receive a share of KAKENHI from the Principal Investigator and use it properly.
 - (a) The Co-Investigator has to recognize that citizens have placed trust in scientific research and that KAKENHI are funded with their tax, and you therefore have to use KAKENHI in a proper and efficient way and refrain from committing research misconduct during my research.
 - (b) The Co-Investigator has to fulfil the requirement for the research ethics education coursework either by reading a textbook such as “For the Sound Development of Science - The Attitude of a Conscientious Scientist –“ (“For the Sound Development of Science” Editorial Committee on JSPS), by taking an e-Learning course such as the “e-Learning Course on Research Ethics [eL CoRE] or “APRIN e-learning program (eAPRIN)”, or by participating in the research ethics education course conducted at his/her institution based on the “Guidelines for Responding to Misconduct in Research” (Adopted August 26, 2014 by the MEXT), prior to the formal application for grant delivery (or, in case the grant has already been delivered, by the time the “application for approval of change for the Co-Investigator” is submitted by the Principal Investigator to JSPS).
 - (c) The Co-Investigator has to understand thoroughly and confirm on what the researchers should consider, in conducting of their researches, from amongst the contents of both the statement “Code of Conduct for Scientists -Revised Version-” by the Science Council of Japan and the booklet “For the Sound Development of Science -The Attitude of a Conscientious Scientist-” by the JSPS, by the time of the formal application for grant delivery of the concerned research project. (Or, by the time when the “application for approval of change of the Co-Investigator” is to be submitted to the JSPS by the Principal Investigator, in case the official grant decision thereof has been already made.)

* Refer to the KAKENHI (Grants-in-Aid for Scientific Research) Electronic Application System Operation Manual (URL: https://www.shinsei.jps.go.jp/kaken/topkakenhi/shinsei_ka.html) for the detailed information on the consent processes of the Co-Investigator such as operating environment, operating method, and so on.

(3) Joint researchers other than Co-Investigators become “Research Collaborators”. Therefore, the applicant does not have to enter them in the Project Members List of the proposed project in question. When the applicant mention about Research Collaborator in the Research Proposal Document, if necessary, the applicant can mention them in a column where he/she explains the overall research plan, for example, in the column “Research Objectives, Research Method, etc.”.

10. Research Expenditure and Their Necessity

Details of research expenditure, their necessity and the basis of their estimation should be given in connection with the “Research Proposal Document (forms to be uploaded)”. In that case, please pay attention to “Target expenditure (direct expense)” and “Ineligible expenditure” described below. Also, please be aware that research plan with research expenditure less than 100,000 yen in any year of the research period will not be eligible for call for proposal.

“Target expenditure (direct expense)”

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

“Ineligible expenditure”

The following expenditures are not included in the funding:

- ① Expenditure for buildings and other facilities (excluding the expenditure for installations which became necessary because of the introduction of goods that have been purchased by means of direct expense)
- ② Expenditure for handling accidents or disasters that occurred during the implementation of funded project
- ③ Personnel cost/Honoraria for the Principal Investigator or Co-Investigator(s)
- ④ Other expenditure which fall under indirect expense*

* Indirect expense is expenditure 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 expense). The expenditure is used by the research institution.

This time, it is scheduled to set up indirect expense for the research categories for which a call for proposals is organized. However, the Principal Investigator does not need to state that indirect expense in the Research Proposal Document.

Research expenditure and usage breakdown are automatically calculated from the details of each expense. In the detail column of each expenditure, the data input column is displayed by pressing the “Add” button necessary times on the left side of the input screen. For data entry fields that you do not use (if you have entered but do not

use it or if you did not enter at all), please delete the data entry field by pressing the “Delete” button on the left side. Please enter the amount in thousand yen units rounding off fractions smaller than one thousand yen. After completing the input of all the details of each expense, please click the recalculate button. And the output in PDF will be the upper limit to 2 pages.

Please note the following points when entering details of each expense. However, the way to journalize each expense should be handled in accordance with such as the accounting rules of the research institutions to which you belong including but not limited to the following examples.

- Equipment Costs

When purchasing a large number of books and/or materials, please input, to some extent, the contents of the books and/or materials to clarify what they are, such as “the books related to the Western medieval political history” (As for the books, the same way to journalize should be applied even if they were not handled as equipment.). Also, in the case of the machinery and equipment, not only enter simply with a set of something but also with its breakdown.

- Consumables Expenses

Please enter for each product name such as chemicals, laboratory animals, glassware, etc.

- Necessity of the Equipment Costs and the Consumables Expenses

Please enter the necessity and the basis of the estimation for the equipment costs and consumables expenses you have inputted. In any fiscal year of this research period, if the “equipment costs” exceeds 90% of the total research expenditure in any FY of the period and there is expenditure which accounts for a particularly large proportion in “consumables expenses”, you must enter the necessity of the expenditure to carry out the research. In addition, in such cases as equipment were purchased by the combined use from the grants, enter into the column of unit price the amount using for this concerned research project together with mentioning to the effect that this is the combined use.

- Domestic and Overseas Travel Expenses

As for the domestic and overseas travel expenses for Principal Investigator, Co-Investigator(s), and Research Collaborators (data collection, various investigations, meetings of research, announcement of results of research, etc.), please enter the expenditures (transportation fee, accommodation fee and daily allowance), etc. for each matter.

- Personnel Cost/Honoraria

Please enter the expenditures for each matter such as honoraria, compensation, wages and salaries to Research Collaborator(s) (postdoctoral researchers, research assistants (RA), researchers belonging to overseas research institutions, and others) who 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. In addition, enter the status at the time of collaboration (such as project assistant professor, postdoctoral fellow, student in Doctoral course/Master's course)

of the people to whom the personnel cost or honoraria to be paid if it is obvious.

(Example) Organizing materials: [breakdown: X (number of students in Doctoral courses) × Y (number of months)] = XXXX yen. (Refer to the Application Procedures for Grants-in-Aid for Scientific Research.)

○ Miscellaneous Expenses

Except for equipment cost, consumables expenses, travel expenses, personnel cost/honoraria, please enter the expenditures to carry out the research (e.g. the costs for printing, photocopying, developing/printing, correspondence (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 (rental of the venue and meals (excluding alcohol)), equipment rental (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, the cost of “buyout”, *i.e.* someone taking over a part of the duties (other than research) of the Principal Investigator or Co-Investigator(s). (Refer to the Application Procedures for Grants-in-Aid for Scientific Research)) item by item.

○ Necessity of Travel Expenses, Personnel Cost/Honoraria, and Miscellaneous Expenses

Please enter the necessity and the basis of the estimation of travel expenses, personnel cost/honoraria, and miscellaneous expenses you entered. In any fiscal year of this research, if the “travel expenses” or “personnel cost/honoraria” exceeds 90% of the total research expenses in any FY of the research period and there is expenses which accounts for a particularly large proportion in “miscellaneous expenses,” you must enter the necessity of the expenditure to carry out the research.

11. The Status of Application and Acquisition of Research Grants

The entries in this column will be referred to by the review committee in order to ensure that the grant status would not constitute a case of “unreasonable duplication and/or excessive concentration in the grant allocation” so that the proposed research project can be duly carried out in parallel with other projects. Principal Investigator should input and confirm following information up to the time of current application such as (1) research grant application(s) in the review process, (2) research grant(s) adopted and to be delivered, and (3) other activities.

- This research project should be entered at the head of “(1) research grant application(s) in the review process”.
- Not only KAKENHI but also other competitive research funds (including foreign ones) (*) should be entered in “(1) research grant application(s) in the review process” and “(2) research grant(s) adopted and to be delivered”.

(*) The Integrated Innovation Strategy 2020 states that “Regarding the acceptance of funds from foreign countries, we [the Government of Japan] will make information disclosure of the situation, etc. as a requirement at the time of a research funds application.” In response, starting from the FY2021 call for proposals, it is clearly stated that applicants submitting KAKENHI grant applications must declare any foreign research funds in “The Status of Application and Acquisition of Research Grants” column in the Research Proposal Document. Enter all domestic and foreign competitive research funds as well as any research funding, including subsidies from private foundations, funds for

contract research and joint research in the review process and/or adopted and to be delivered.

- There is no need to enter the fundamental research grants that are allocated so that research activities, etc. can carry out as duties within the research institution to which the researcher belongs in “(1) research grant application(s) in the review process” or “(2) research grant(s) adopted and to be delivered”. The effort of the research activities and so on that utilize such grants is included in “(3) other activities”. Moreover, the effort in the research project supported by a KAKENHI in which the researcher participates as Research Collaborator is included in “(3) other activities”.
- If the applicant is a Research Fellowship for Young Scientists (SPD/PD/RPD/CPD) and plan to receive a Grant-in-Aid for JSPS Fellows in FY2022, please enter it in “(2) research grant(s) adopted and to be delivered”. Moreover, please do not enter the Grant-in-Aid that is paid monthly by JSPS (research implementation costs).
- As for the research proposal submission in the fiscal year previous to the final fiscal year of the research period of an on-going research project, do not enter expected amounts of the said on-going research project on which the new application is based in the “(2) research grant(s) adopted and to be delivered”.

In the detail column of “(1) research grant application(s) in the review process” and “(2) research grant(s) adopted and to be delivered”, the data input column is displayed by pushing the necessary number of “Add” button on the left side of the input screen. For data entry fields that you do not use (if you have entered but do not use it or if you did not enter at all), please delete the data entry field by pressing the “Delete” button on the left side.

○ “ Role in this Project”

Please select “PI” if the role of the researcher is a Principal Investigator or select “Co-I” if the role of the researcher is a Co-Investigator.

○ “ Funding Scheme, Grant Category (Funding Organization)”

In case of KAKENHI, please select the research category. For cases other than KAKENHI, please select “Other” and enter the name of the research grant and the name of the funding organization in the lower row.

○ “Research Period”

Please enter the research period.

○ “Title of Proposed Research Project”

Please enter the title of proposed research project.

○ “Name of Principal Investigator”

If applicant select “Co-I” in the column of Role in the Project, please enter the name of the Principal Investigator (or equivalent) of the research subject.

○ “Research Expenditure for FY2022 (Research Expenditure for the whole period) (Unit: thousand yen)”

Enter the amount of direct expense of research expenditure to be received and used by him/herself in FY2022

(items under application is the applied amount) in the upper row, and at the same time enter the total amount (planned amount) to be used by him/herself during the whole period in the lower row.

If applicant select “Co-I” in the column of Role in the Project, please enter the amount of allotment (planned amount) to be received and used by him/herself in FY2022 in the upper row, and at the same time enter the total amount of allotment (planned amount) to be used by him/herself during the whole period in the lower row. (Please enter "0" if contributions are not distributed in the respective column.)

○ “Effort Percentage in FY2022 (%)”

Based on 100% of the total working hours for “(1) research grant application(s) in the review process”, (2) research grant(s) adopted and to be delivered” and “(3) other activities” to be entered in this column, please enter the allocation rate (%) of the time required for conducting activities, etc. The “total working hours” does not mean time spent only on research activities, but entire actual working time, including time spent on educational activities and other activities.

In KAKENHI, please enter “-” (hyphen) if applicant enter a research category (such as Specially Promoted Research) that can be duplicated but not adopted in duplicate.

In addition, when conducting research by the competitive research funds, please be sure to enter the effort related to the research activity. When the research project for which the current application is being made is selected, the applicant will be requested to confirm the effort anew at that time and to perform the procedure of formal application for grant delivery. If the effort is changed at that time, it is necessary to correct the effort it e-Rad before formal application for grant delivery.

○ “Distinction of the research contents and reason for submission of this KAKENHI application in addition to the other projects, and other relevant information”

Please explicitly enter the items focusing on the research grant application(s) in the review process or research grant(s) adopted and to be delivered, distinction of the research contents, and reason for submission of this KAKENHI application in addition to the other projects of the research project.

In addition, enter the affiliated institution and title/position in submitting or accepting the research project. If applicant is a Principal Investigator of KAKENHI, please enter the total amount of direct expense for the whole research period including the shared amount to the Co-Investigators in this column.