Application Procedures for Grants-in-Aid for Scientific Research-KAKENHI-

FY2020

Fund for the Promotion of Joint International Research
(Fostering Joint International Research (A))

This English version is provided for convenience of prospective KAKENHI applicants who experience difficulty in reading the Japanese original, which should be referred to, in case of dispute.

July 1, 2020

Japan Society for the Promotion of Science
(https://www.jsps.go.jp/)

Introduction

This document, “Application Procedures for Grants-in-Aid for Scientific Research-KAKENHI-” describes the procedures and other matters relevant to the “Call for Proposals for the Grants-in-Aid for Scientific Research-KAKENHI- for FY2020”, including “Fund for the Promotion of Joint International Research (Fostering Joint International Research (A))” (hereinafter referred to as Fostering Joint International Research (A))

The contents are

I Outline of the Grants-in-Aid for Scientific Research-KAKENHI-
II System Improvements in the Call for Proposals for Fiscal Year 2020
III Call for Proposals
IV Instructions & Procedures for Prospective Applicants
V Instructions & Procedures for Grant Recipients
VI Instructions & Procedures for Administrative Staff of Research Institution
VII Other Relevant Issues

“III Call for Proposals” provides such basic issues as the range of envisaged total budget, project period etc. Schedule from call for proposals, proposal submission, and screening review to grant delivery is also described.

The subsequent sections, “IV Instructions & Procedures for Prospective Applicants”, “V Instructions & Procedures for Grant Recipients” and “VI Instructions & Procedures for Administrative Staff of Research Institution”, describe conditions for application, required procedures, and other matters, to be followed by the respective actors.

The major changes in the call for proposals for FY2020 are listed on the following pages.

- Grants-in-Aid for Scientific Research is a competitive funding intended to provide financial support for creative and pioneering research conducted by individual researchers. Therefore, the content of the Research Proposal Document must be an original plan by the applicant.
  In preparing Research Proposal Document, plagiarism and/or misappropriation of the research contents of others are strictly impermissible. Applicant must comply with research ethics.

- The research using the KAKENHI fund should be carried out by the researcher(s)' own initiative and responsibility. Therefore, the implementation of a KAKENHI research project and publication of the research results are solely attributed to the researcher(s)' responsibility and view, and do not reflect that of the funding sector nor of the government.

- To ensure the quality of scientific knowledge and to gain trust of society on scientists and scientific communities, it is essential to exercise fair and conscientious research activities with the adherence to the code of conduct for scientists. Applicants must understand and practice the contents of both the statement "Code of Conduct for Scientists -Revised Version-" (section I. "Responsibilities of Scientists") by the Science Council of Japan and the booklet "For the Sound Development of Science - The Attitude of a Conscientious Scientist -" (especially section I "What Is a Responsible Research Activity?") issued by the Japan Society for the Promotion of Science (JSPS).

＜Major Change for Call for Proposal in Fiscal Year 2020＞

(1) The eligibility regarding the age limit has been changed from ‘applicant who is between 36 and 45 years of age’ to ‘applicant who is 45 years of age or under’ (Please refer to pages 15 and 23.)

(2) Starting from the FY2019 call for proposals, the “Research Achievements” column in the Research Proposal Document format has been renamed to “Applicant’s Ability to Conduct the Research and the Research Environment”. In view of the prevailing misunderstandings of the purpose of the format revision, it is re-emphasized that research achievements (publications, etc.) which the applicant thinks relevant to the proposed research plan can be included in the description of this column as appropriate. (See pages 15-17)

(3) It is re-emphasized that researchers who are/were KAKENHI recipients are requested to be cooperative when asked to participate in the peer review process, as the KAKENHI system relies on the peer review scheme. (See page 45-46.)

(4) It is emphasized in “VI. Instructions & Procedures for Administrative Staff of Research Institution” in page 51 that the understanding and cooperation of research institutions such as the development of support system that can secure replacement staff and the flexible handling of research expenses used in overseas is essential.

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Table of Contents

I. Outline of the Grants-in-Aid for Scientific Research - KAKENHI ·····1

1. Purpose and Character of Grants-in-Aid for Scientific Research - KAKENHI
2. Research Categories
3. Role sharing between MEXT and JSPS
4. Rules pertaining to KAKENHI
(1) Three types of rules pertaining to KAKENHI
(2) Appropriate use of KAKENHI
(3) Important Notes on the use of KAKENHI
(4) Penalty for non-submission of "Report on the Research Achievements"
(5) Penalty for the case of infringement of related laws and regulations
5. "Guidelines on the Proper Implementation of Competitive Funding"
(1) Elimination of Unreasonable Duplication and/or Excessive Overconcentration in the Grant Allocation
(2) Dealing with "Improper Grant Spending", "Fraudulent Grant Acquisition" or "Research Misconduct"
6. Dissemination of Research Achievements supported by KAKENHI
7. Code of Conduct for Scientists to Adhere

II. System Improvements in the Call for Proposals for Fiscal Year 2020·····15

III. Call for Proposals ·····23

1. Research Categories for which a Call for Proposals is Organized
2. Schedule from Application to Grant Delivery
(1) Procedures that need to be completed prior to the deadline for the submission of the application documents
(2) Schedule after the Submission of the Application Documents (plan)

IV. Instructions for Prospective Applicants ·····27

1. Procedures to be Completed Prior to Application
(1) Ascertainment of the Eligibility for KAKENHI Application
(2) Confirmation of the Researcher Information Registered in the e-Rad System
(3) Confirmation of the ID and the Password to Use the Electronic Application System
2. Restrictions on Parallel Grant Application/Receipt
(1) The Basic Policy for Restriction on Parallel Grant Application/Receipt
(2) Restrictions on Parallel Grant Application/Receipt
(3) Important Notes
(Attached Table) Table of Restriction on Parallel Grant Application/Receipt ·····33
3. Root Research Projects and Other Research Projects
(1) Projects qualified as "root research projects"
(2) Conducting research under both a root project and another project(s)
4. Preparation of the KAKENHI Application Form (Research Proposal Document)
(1) Revision of the Research Proposal Document
(2) Preparation of KAKENHI Research Proposal Document
(3) Electronic Submission of the Research Proposal Document
Important Checkpoints of the Research Proposal Document

1 Qualification as a KAKENHI project
2 Eligibility of the Project Members
3 Requirements for the Appropriation of Research Expenditure
4 Selection by the Applicant of a Desired Review Area in the Review Process
5 Important Notes

5. Completion of Research Ethics Education Course or Other etc.
6. Registration of the Researcher Information in Researchmap
7. Cooperation to Review

V. Instructions for Grant Recipients ·····47

1. Handling of Research Projects Selected in or before FY2019
2. Handling of Continued Research Projects Whose PI Fails to Submit the Report on the Research Achievements of his/her Other KAKENHI Project
3. Completion of Research Ethics Education Course or Other etc.
4. About a case in which a Research Project that is to be continued in FY2020 (hereafter referred to as "continued research project") under Fund for the Promotion of Joint International Research (Fostering Joint International Research (B)) has already reached the original research goal.

VI. Instructions & Procedures for Administrative Staff of Research Institution ·····49

1. Sharing the Purpose and Aim of the KAKENHI System
2. Issues to Be Completed Beforehand by the "Research Institution"
(1) Requirements as a "Research Institution" and Procedures for Designation and Change
(2) Ascertainment of the Eligibility to Apply of the Affiliated Researcher
(3) Confirmation of the Researcher Information Registered in the e-Rad System
(4) Confirmation of an ID and a Password of the Researcher Belonging to the Research Institution
(5) Submission of a "Self-Assessment Checklist on the Improvement of the System", based on the "Guidelines on the Management and Audit of Public Research Funds at Research Institutions (Implementation Standards)"
(6) Submission of the "Checklist pertaining to the Current Status" based on "Guidelines for Responding to Research Misconduct"
(7) Implementation of a Research Ethics Education Course based on the "Guidelines on Research Misconduct"
(8) On the Submission of the Report on the Research Achievements
(9) Obtaining Sufficient Knowledge about the Contents of the Application Procedures
3. Issues that Need to Be Verified When Compiling the Application Forms (Preparing the Research Proposal Document)
(1) Ascertainment of the Eligibility for KAKENHI Application
(2) Confirmation of the Researcher Information Registered in the e-Rad System
(3) Verification of the Principal Investigator
(4) Verification of the Application Forms
4. Submission and Other Matters of the Research Proposal Document (Preparing the Research

Proposal Document)

VII. Other Relevant Issues ·····61

1. Concerning Support through Grant-in-Aid for Scientific Research on Innovative Areas - Platforms for Advanced Technologies and Research Resources
2. Concerning the Promotion of the Shared Use of Research Equipment
3. On the Promotion of the 'Dialogue on Science and Technology with Citizens' (A Basic Approach Policy)
4. Cooperation with the National Bioscience Database Center
5. On the Inter-University Bio-Backup Project
6. National BioResource Project
7. Security Export Control Policy

(Reference 1) Review Panels and Other Matters ·····68
1. Concerning KAKENHI Review (Omitted)
2. Review Methods, and Other Matters
3. Notification of the Review Results
(Reference 2) Procedures on the Handling of Grants-in-Aid for Scientific Research (Omitted)
(Reference 3) Procedures on the Handling of JSPS Grants-in-Aid for Scientific Research(KAKENHI (Multi-year Fund)) (Omitted)
Inquiries

[References]

The application forms (Research Proposal Document) and other application materials are contained in separate files. Please refer to "Supplementary edition to the Application Procedures for Grants-in-Aid for Scientific Research-KAKENHI- for FY2020; Fund for the Promotion of Joint International Research (Fostering Joint International Research (A)) (Forms/Procedures for Preparing and Entering a Research Proposal Document)".

* The application forms (Research Proposal Document) and other application materials can be downloaded from the JSPS website (cf. URL below).

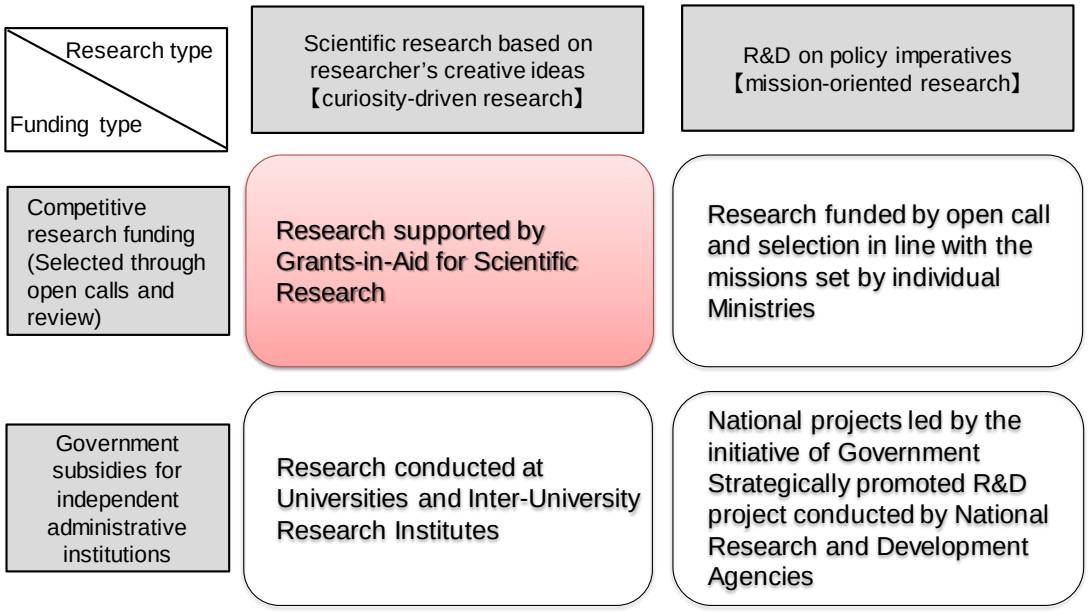
URL: https://www.jsps.go.jp/j-grantsinaid/index.html

I. Outline of the Grants-in-Aid for Scientific Research - KAKENHI -

1. Purpose and Character of Grants-in-Aid for Scientific Research - KAKENHI

Grants-in-Aid for Scientific Research are competitive funds that are intended to promote development of scientific research (based on original ideas of researchers), encompassing basic to applied researches in all fields ranging from humanities and social sciences to natural sciences. The grants provide financial support for creative and pioneering research projects that will become the foundation of social development. The research projects are selected by peer-review process.

The position of "KAKENHI" in the policy on the promotion of science, technology and scientific research in Japan



2. Research Categories

Different research categories of KAKENHI listed below are provided so as to meet the variety of the research content and budget scale.

❖ As of July 2020

Research categories	Purposes and description of each research category	Type of fund*1	
Grants-in-Aid for Scientific Research			
Grant-in-Aid for Specially Promoted Research	Outstanding and distinctive research conducted by one or a relatively small number of researchers expected to achieve remarkably excellent research results that open up a new scientific field. (The research period is 3 to 5 years. In a truly necessary case, period up to 7 years is acceptable.) The budget ranges from 200 million to 500 million yen (only in a truly necessary case, budget exceeding 500 million yen is asked for.).	SG	
Grant-in-Aid for Scientific Research on Innovative Areas (Research in a proposed research area)	This category is intended to foster novel research areas proposed by diverse groups of researchers that are expected to lead to development and heightening of Japan's research level in the respective fields, to be conducted by collective research efforts through collaboration, scholarly training, shared use of equipment, etc. (The period is 5 years. The budget range is generally set between 10 million to 300 million yen per fiscal year per proposed area.) [After the FY2020 call for proposals, only proposals on publicly offered research of continued research areas will be call for]	SG	
Grant-in-Aid for Transformative Research Areas	(A) Research areas proposed through co-creative and interdisciplinary efforts of diverse researchers, which aim to create research areas that will lead to radical transformation of and change in the existing framework and/or direction of research as well as upgrade and level-up of scientific research in Japan and nurturing of young researchers, and will contribute to the development of the proposed research areas through efforts for collective research and shared use of equipment, etc. (5 years; more than 50 million yen and up to 300 million yen per fiscal year per research area (In a truly necessary case, a budget exceeding 300 million yen may be requested)) (B) Research areas proposed by compact, small-scale groups of researchers who will be bearers of the next generation of research (about 3 or 4 groups), which aim to create research areas that will lead to radical transformation of and change in the existing framework and/or direction of research as well as upgrade and level-up of scientific research in Japan through more challenging and exploratory research, and expected to lead to Transformative Research Areas (A) in the future. (3 years; 50 million yen or less per fiscal year per research area)	SG	
Grant-in-Aid for Scientific Research	(S): Creative/pioneering research conducted by one or a relatively small number of researchers. 5 years (in principle) 50 million to 200 million yen (A), (B), (C): Creative/pioneering research conducted by one researcher or jointly by multiple researchers. (A) 3 to 5 years 20 million to 50 million yen (B) 3 to 5 years 5 million to 20 million yen (C) 3 to 5 years 5 million yen or less	(S)	SG
		(A)	SG
		(B)	SG
		(C)	MF
Grant-in-Aid for Challenging Research (Pioneering/Exploratory)	Research conducted by a single or multiple researchers that aims at radically transforming the existing research framework and/or changing the research direction and has a potential of rapid development. The scope of the (Exploratory) category encompasses research proposals that are highly exploratory and/or are in their budding stages. (Pioneering) 3 to 6 years 5 million to 20 million yen (Exploratory) 2 to 3 years 5 million yen or less	MF	
Grant-in-Aid for Young Scientists	[No new proposals have been called since FY2017.] (A), (B): Research conducted individually by a researcher of age 39 or younger. (A) 2 to 4 years 5 million to 30 million yen (B) 2 to 4 years 5 million yen or less	(A)	SG
		(B)	MF

Grant-in-Aid for Early-Career Scientists	[A call for proposals started from FY2018.] Research conducted by an individual researcher (*2) who is less than 8 years after Ph.D. acquisition. As a transitional measures, a non-Ph.D. researcher who is 39 years old or younger can also apply. 2 to 4 years 5 million yen or less	MF
Grant-in-Aid for Research Activity Start-up	Research conducted by a single researcher who has been freshly appointed to a research position, or who has returned from his/her maternity, childcare or other kinds of leave. Up to2 years Up to 1.5 million per fiscal year	MF
Grant-in-Aid for Encouragement of Scientists	Research conducted by an individual who is ineligible for application for other KAKENHI categories (e.g. Individuals who belong to educational or research institutions, private companies, etc. and engage in the researches to contribute to the promotion of the science). 1 year 100 thousand to 1 million yen	SG
Grant-in-Aid for Special Purposes	Research projects of pressing urgency and importance.	MF
Grant-in-Aid for Publication of Scientific Research Results		SG
Publication of Research Results	Subsidy for publication and/or international dissemination of research achievements of high academic values executed by academic associations and other organizations.	
Enhancement of International Dissemination of Information	Subsidy for efforts by academic societies and other scholarly organizations to strengthen international dissemination of academic information for the purpose of international academic exchange.	
Scientific Literature	Subsidy for academic publication of research results (books) authored by an individual or a group of researchers.	
Databases	Subsidy for creation and operation of a database open to public use by an individual or a group of researchers.	
Grant-in-Aid for JSPS Fellows	Funding period is up to 3 years for research conducted by JSPS Fellows (including Foreign JSPS Fellows). As for Cross-border Postdoctoral Fellowship (CDP) the period is up to 5 years	SG
Fund for the Promotion of Joint International Research		MF
Fostering Joint International Research	(A) Support of joint international research project conducted by a KAKENHI grantee in collaboration with researcher(s) at foreign university or research institution. Over a period of 6 to 12 months. The grant seeks to markedly advance research plans for the root research project and to foster independent researchers who can be internationally competitive. (The budget is up to 12 million yen.) (The category name is changed from FY2018 call for proposals.) (B) Support of joint international research project conducted by multiple domestic researchers and a researcher who belongs to overseas research institution. In addition to the development of scientific research, the grant seeks to build out infrastructure of joint international research or further strengthen joint international research and to foster researchers who can be internationally competitive. (The period is 3 to 6 years. The budget is up to 20 million yen.)	
International Activities Supporting Group	Support of international activities within Scientific Research on Innovative Areas. (Set period of the Area, up to 15 million yen per fiscal year) *After FY2018 call for proposal, “International Activities Supporting Group” have been incorporated into “Grant-in-Aid for Scientific Research on Innovative Areas “Administrative Group”.	
Home-Returning Researcher Development Research	Support of research to be conducted by a Japanese researcher with current affiliation abroad who is to be newly appointed at university or research institution in Japan. (The period is up to 3 years. The budget is up to 50 million yen.)	
Generative Research Field	[No new proposals have been called since FY2020.] This category set for “Scientific Research (B/C)” is open to research proposals for which review within the conventional framework of research fields may be difficult and/or to applicants who prefer their proposals to be screened from a broader perspective relevant to the Generative Research Field. (The research period that can be applied for differs depending on the year of application.)	MF

*1 SG: Series of Single-year Grants, MF: Multi-year Fund
*2 Individuals who are in the prospect of acquiring Ph.D. are also eligible. When counting the years after Ph.D. acquisition, the period of maternity leave and childcare leave can be excluded.

3. Role sharing between MEXT and JSPS

Up to FY 1998, all aspects of KAKENHI funding were handled by the Ministry of Education (the predecessor of the MEXT). From FY1999 on, these tasks have been gradually transferred to JSPS. The current role-sharing between MEXT and JSPS is as shown below.

❖ As of July 2020

Research category	Call for proposals, Review Preparation of the document(s) for procedures, Reception of proposal submission	Grant delivery Notifications of unofficial decision Reception of the application form (after unofficial decision) and other documents for the relevant procedures. Notification of grant decision
Scientific Research on Innovative Areas, Grant-in-Aid for Special Purposes Grant-in-Aid for Transformative Research Areas Fund for the Promotion of Joint International Research（International Group)	MEXT	JSPS
Specially Promoted Research, Scientific Research, Challenging Exploratory Research, Challenging Research, Young Scientists, Early-Career Scientists, Research Activity Start-up, Encouragement of Scientists, Publication of Scientific Research Results, JSPS Research Fellow, Fund for the Promotion of Joint International Research (Fostering Joint International Research, Home-Returning Researcher Development Research), Generative Research Fields	JSPS	JSPS

4. Rules pertaining to KAKENHI

For “Fostering Joint International Research (A),” KAKENHI (Multi-year Fund) will be funded. It is governed by the “Law on Optimizing Implementation of Budgets Relating to Subsidies” (Law No. 179, 1955), the “Basic Policy on the Management of the KAKENHI (Multi-year Fund) (Decision by the Minister of Education, Culture, Sports, Science and Technology)”, “Procedures on the Handling of JSPS Grants-in-Aid for Scientific Research (KAKENHI (Multi-year Fund))” (Rule No. 19, 2011) and other rules.

(1) Three types of rules pertaining to KAKENHI

The following three sets of rules pertain to various aspects of KAKENHI.

1) Application Rules: rules concerning the submission of research proposals
2) Assessment Rules: rules concerning the review (pre-assessment) of applications, and rules concerning the interim, ex-post, and other progress assessment of granted projects.
3) Utilization Rules: rules concerning the use of KAKENHI

These three sets of rules apply as follows.

【Grants-in-Aid for Scientific Research】

❖ As of July 2020

	Application rules	Assessment rules	Utilization rules
KAKENHI (Multi-year Fund) Fund for the Promotion of Joint International Research (Fostering Joint International Research(A))	JSPS Procedures on the call for proposals	JSPS Rules concerning the review and assessment for Grants-in-Aid for Scientific Research	JSPS For researchers: Funding conditions For research institutions: Administrative work and other tasks concerning the use of Grants-in-Aid for Scientific Research (KAKENHI (Multi-year Fund)) – "Fund for the Promotion of Joint International Research (Fostering Joint International Research(A))", to be performed by each research institution

(2) Appropriate use of KAKENHI

KAKENHI are funded by the tax of citizens and other sources, so please ensure that KAKENHI is used efficiently and effectively, for example through planning for the communal use of purchased items. Researchers receiving KAKENHI have a duty to comply with the related laws, regulations and utilization rules by researchers (subsidiary conditions or funding conditions), and also to use such grants appropriately. To ensure grantees comply with this requirement, we check whether no inappropriate use of KAKENHI will be made, when an application is made. (See note below.)

To facilitate the appropriate use of KAKENHI, research institutions to which the researchers belong are responsible for the management of the KAKENHI. The Administrative work that each research institution is required to carry out (rules for use for institutions) is determined.

The research institutions are responsible for the appropriate accounting of KAKENHI. It is desirable, for example, to set up an accounting system for proper management of KAKENHI budget and expenditure, purchase order and delivery inspection, and internal auditing. To prevent improper business transactions, it is important, in addition to appropriate delivery inspections, to make all traders thoroughly informed of the KAKENHI rules and thus obtain cooperation of traders in the prevention of this kind of fraudulent accounting. Research institutions should take rigorous measures so as to eliminate business malpractice.

KAKENHI applicants and their institute must have full understanding of the KAKENHI rules prior to the submission of their research proposals.

(3) Important Notes on the use of KAKENHI

KAKENHI (Multi-year Fund) is handled as single funding for the whole research period. Therefore, it is possible to use the grant to cover the expenditures extending over fiscal year boundaries.

Moreover, if an amount of grant money remains unused by the end of a fiscal year, it can be carried over to the successive fiscal year(s) as long as they are within the overall research period, without going through prior authorization procedures. In case such a grant carry-over becomes necessary in the final year of the research period, the grantee may choose to request an official approval of one-year extension of the research period.

* Under the grant "Fostering Joint International Research(A)," the period of a project may be extended to the last day of the fiscal year that falls three years after the date that the research institution submitted the project's application form for funding.

(4) Penalty for non-submission of "Report on the Research Achievements"

1) The "Report on the Research Achievements" plays the important role in making the achievements of the research funded by KAKENHI widely known to the public, and thereby returning the outcome of KAKENHI supported by citizens' tax, to the society.

   The contents of the "Report on the Research Achievements" submitted by KAKENHI grantees are compiled and made available to the public on the "Database (KAKEN)" of the National Institute of Informatics and other platforms. "Report on the Research Achievements" should be submitted via the research institution to which the KAKENHI grantees belong.

2) No KAKENHI grant will be awarded to a researcher who failed to submit the "Report on the Research Achievements" at the end of his/her research period without any justifiable reason. If such a non-compliance case is uncovered, the decision of grant award to the researcher in question may be cancelled, the on-going grant may be suspended, and return of the delivered grant may be ordered. In addition, relevant information, such as the name of the research institution to which the researcher in question belongs, may be made public.

(5) Penalty for the case of infringement of related laws and regulations

If there have been serious falsehoods in the application documents, or violation of relevant laws, regulations and guidelines, the delivery of KAKENHI may be suspended or cancelled.

5. "Guidelines on the Proper Implementation of Competitive Funding"

The "Guidelines on the Proper Implementation of Competitive Funding" (agreement of the liaison meeting of related offices and ministries on competitive funding, dated September 9, 2005; amended June 22, 2017) states common understandings among the research-related ministries and offices in regard to allocation of competitive research funds, in terms of elimination of such inappropriate practices as unreasonable duplication and/or excessive overconcentration in the grant allocation, fraudulent acquisition and/or unlawful use of grants, and misconducts in research activities.

The implementation of the KAKENHI system as well as other competitive funding scheme follows the above-mentioned “Guidelines” and other related rules. Applicants are urged to take special notice of the following points.

(1) Elimination of Unreasonable Duplication and/or Excessive Overconcentration in the Grant Allocation

1) Towards elimination of “Unreasonable Duplication and/or Excessive Overconcentration” (*) of competitive funds, relevant information on funding applications are shared among the pertinent ministries and funding agencies, making use of the Cross-ministerial Research and Development management system (e-Rad).

Therefore, applicants, when submitting more than one KAKENHI applications and/or other competitive grants, are urged to prepare their application documents with due care to clearly state the differences between the project to be submitted and his/her other projects so as to make it clear that they do not constitute unreasonable duplication.

In case a particular KAKENHI application is recognized as constituting a case of unreasonable duplication and/or excessive overconcentration, that application may not be granted.

2) Untruthful statement or misrepresentation of the status of applications and acquisitions of other KAKENHI grants and other competitive funds in the application form, may result in cancellation of grant or reduction of the research budget.

(*) Elimination of Unreasonable Duplication and Excessive Overconcentration in Grant Allocation

"Guidelines on the Proper Implementation of Competitive Funding" -Extract-

(Agreement of the Liaison Meeting of Related Offices and Ministries on Competitive Funding, Dated September 9, 2005 (Revision: June 22, 2017))

2. Elimination of Unreasonable Duplication and/or Excessive Overconcentration in the Grant Allocation

(1) Basic Policy of the Unreasonable Reduplication and Excessive Overconcentration

① In the "Guidelines", "Unreasonable Duplication" refers to a situation in which more than one competitive funds are unnecessarily and duplicative allotted to one and the same research project by one and the same researcher. Either of the following cases falls under "Unreasonable Duplication".

- **Cases where simultaneous applications have been made to more than one competitive funds for substantially the same research project, and where these research projects are redundantly adopted .**
- **Cases where an application has been made again for substantively the same research project as another project that has already been adopted, and for which the allotment of competitive funding has already been completed.**
- **Cases where there is duplication in the use of research funds among more than one research projects.**
- **Other cases corresponding to those above.**

② In these guidelines, "Excessive Concentration" is a situation in which the entire research funds that are allotted to one and the same researcher or research group (hereinafter called "researcher, etc.") in the fiscal year in question exceeds the limit within which they can be used effectively and efficiently, and in which the research funds cannot be used within the research period. Either of the following cases falls under "Excessive Concentration".

- **Cases where, in the light of the abilities of the researcher, etc. and the research methods, etc., excessive research funds are allotted.**
- **Cases where, in comparison with the effort (the time allocation rate (%) of time necessary for the implementation of the research activities with the entire working time of researcher) that is being allotted to the research project in question, excessive research funds are allotted.**
- **Cases where the purchase of unnecessarily expensive equipment is carried out.**
- **Other cases corresponding to the cases mentioned above.**

(2) Dealing with "Improper Grant Spending", "Fraudulent Grant Acquisition" or "Research Misconduct"

○ "Improper Grant Spending", "Fraudulent Grant Acquisition" and "Research Misconduct" refer to the following type of acts respectively.

- "Improper Grant Spending":
  Use of funds for other purposes, intentionally or by gross negligence, for example, by conducting fictitious business transactions ("azukekin") with a trader through fictitious order placements, or by charging costs higher than actually needed for personnel, travel expenses, etc., or use of funds in violation of the content of the funding decision or the conditions it implies
- "Fraudulent Grant Acquisition":
  Receiving funds by deception or other fraudulent means, for example, by applying under the name of another researcher, or by making false entries in application documents
- "Research Misconduct":
  Fabrication, Falsification, or Plagiarism of data, information, or findings published research achievements based on the intent of the researcher, or the failing of the researcher to fulfill the basic duty of care that he/she has.

1) **No KAKENHI will be offered, for a fixed period of time, when a researcher or related party has committed an improper grant spending of KAKENHI, has committed a fraudulent grant acquisition of KAKENHI, or has committed a research misconduct.**

Moreover, for research projects for which it is established that an improper grant spending of grants, a fraudulent grant acquisition of grants or research misconduct has been committed, he/she may be required to return the given KAKENHI completely or partially.

Moreover, **an outline of the improper grant spending of KAKENHI, the fraudulent grant acquisition of KAKENHI, and/or the research misconduct in question of the researcher who falls in those categories (containing an outline of the research achievements in the research institution, the names of the people involved, the name of the system, the institution they belong to, the research project, the budget, the fiscal year of the research, the fraudulent content, details of the measures taken, etc.) will be made public.**

Also **researchers who have committed a fraud, waste, abuse, or fraudulent grant acquisition of competitive funding other than KAKENHI (including funds under the control of other ministries) etc., and/or has committed research misconduct by means of these competitive funds, and therefore are excluded from receiving these funds in question, for a fixed period of time, will not receive KAKENHI for the fixed period of time.**

Note: This applies to those schemes newly starting a call for proposals in FY2020 (and onward) for "competitive funding other than KAKENHI" as well. It also applies to those schemes that ended before FY2019. Please refer to the website below for the schemes to which this specifically applies at present.
Cf. URL https://www8.cao.go.jp/cstp/compefund/kyoukin_r1-2.pdf

○ Period of KAKENHI suspension

Improper Grant Spending and Fraudulent Grant Acquisition of KAKENHI

<table>
<tr><th></th><th colspan="2">Extent of the improper grant spending</th><th>Period of KAKENHI suspension</th></tr>
<tr><td>I. Researchers who committed improper grant spending of KAKENHI and researchers who conspired in such acts</td><td colspan="2">1. Misappropriation of KAKENHI for personal gain</td><td>10 years</td></tr>
<tr><td rowspan="3">II. Researchers who committed improper grant spending of KAKENHI and researchers who conspired in such acts</td><td rowspan="3">2. Other than 1.</td><td>(1) Cases of major seriousness and maliciousness</td><td>5 years</td></tr>
<tr><td>(2) Cases other than (1) and (3)</td><td>2 to 4 years</td></tr>
<tr><td>(3) Cases of minor seriousness and maliciousness</td><td>1 year</td></tr>
<tr><td>III. Researchers who acquired KAKENHI by deception or other fraudulent means and researchers who conspired in such acts</td><td colspan="2">－</td><td>5 years</td></tr>
<tr><td>IV. Researchers who were not directly involved in the improper grant spending of KAKENHI, but failed to exercise due care.</td><td colspan="2">－</td><td>Depending on the extent to which a researcher violated his/her duty to exercise due care: Upper limit: 2 years, lower limit: 1 year</td></tr>
</table>

For cases judged as subcritical to the punitive suspension measures, sharp reprimand is administered to the individual(s) concerned. The following cases are pertinent to the "sharp reprimand" penalty.

1. Among the cases of II above, the cases in which improper grant spending are slight and the amount of money involved is small.
2. Among the cases of IV above, the cases in which seriousness and maliciousness are slight.

"Research Misconduct"

<table>
<tr><th colspan="3">Individual Involvement in the Misconducts</th><th>Negative Impacts on Science and on Public at Large Degree of Maliciousness</th><th>Period of KAKENHI Suspension</th></tr>
<tr><td rowspan="4">Subject of Research Misconduct</td><td colspan="2">(a) Particularly malicious individual(s) who, for example, had intention of research misconduct from the very beginning of the research</td><td></td><td>10 years</td></tr>
<tr><td rowspan="3">(b) Author(s) of paper(s), etc. related to the research in which research misconduct (s) have been identified (other than (a) above)</td><td rowspan="2">Responsible author(s) of the paper(s) in question (corresponding author, lead author or other authors bearing equivalent responsibilities)</td><td>Cases where it is judged that the impact on the progress of the science in the field in question and the social impact are major, or the level of maliciousness involved in the acts is high</td><td>5 to 7 years</td></tr>
<tr><td>Cases where it is judged that the impact on the progress of the science in the field in question and the social impact are minor, or the level of maliciousness involved in the acts is low</td><td>3 to 5 years</td></tr>
<tr><td>Author(s) of the paper(s) in question other than the responsible author(s) described above</td><td></td><td>2 to 3 years</td></tr>
<tr><td colspan="2">(c) Individual(s) involved who are not the authors of the research paper(s) for which research misconduct(s) are identified.</td><td></td><td>2 to 3 years</td></tr>
<tr><td colspan="3" rowspan="2">Responsible author(s) of paper(s), (corresponding author, lead author or other authors bearing equivalent responsibilities) for which research misconduct(s) are identified, but not involved in the alleged research misconduct</td><td>Cases where it is judged that the impact on the progress of the science in the field in question and the social impact are major, or the level of maliciousness involved in the acts is high</td><td>2 to 3 years</td></tr>
<tr><td>Cases where it is judged that the impact on the progress of the science in the field in question and the social impact are low, or the degree of severity of the acts is low</td><td>1 to 2 years</td></tr>
</table>

* In cases where specific issues for extenuation such as voluntary withdrawal of the paper in question may be taken into account, the suspension period can be shortened as judged fit.

2) The relevant information of each research misconduct case may be provided to the relevant offices and the office of research funding under the jurisdiction of Ministry of Education, Culture, Sports, Science and Technology (including independent administrative legal entities and other grant-allocating institutions) in charge of funding within such Offices and Ministries. Thereby the penalized researcher may be also subject to restriction in application of and/or participation to research projects in other competitive funds than KAKENHI.

Note: "Applying and participating" means proposing newly adopted research projects, applying, responding to call for proposals, newly participating to research as a person involved in collective research, etc. and participating as a Principal Investigator or a person involved in collective research, etc. in research projects in progress (continued research projects).

3) If it is established that research misconduct has taken place in a research paper, report, or other research output funded by KAKENHI, the researcher will be treated in the same way as stated in the above-mentioned 1) and 2). The negative impacts of the research misconduct and other matters will be taken into consideration.

Moreover, a person who is determined to have a certain responsibility, because, for example, he or she neglected his/her duty of care as a person in charge of the paper, report, etc. in question, will be treated in the same way, even if it has not been established that he or she was directly

involved in the research misconduct.

4) Research institutions are required to comply with the "Guidelines on the Management and Audit of Public Research Funds at Research Institutions (Implementation Standards) (revised in February 18 2014), Ordered by the Minister of Education, Culture, Sports, Science and Technology" and "Guidelines for Responding to Research Misconduct (adopted August 26, 2014 by MEXT）". Therefore, research institutions should pay adequate attention to these two sets of Guidelines when researchers implement their research activities. In case where the status of the system improvement in line with these guidelines is recognized inadequate based on the survey results, the measures such as the reduction in indirect cost of all kinds of grants disbursed by MEXT or the independent administrative legal entities under the control of MEXT to the research institution(s) in question can be taken.

○ "Guidelines on the Management and Audit of Public Research Funds at Research Institutions"

Cf.URL https://www.mext.go.jp/a_menu/kansa/houkoku/1343904.htm

○ "Guidelines for Responding to Research Misconduct "

Cf.URL https://www.mext.go.jp/a_menu/jinzai/fusei/index.htm

Note: Examples of improper grant spending, fraudulent grant acquisition and research misconduct of KAKENHI.

○ Improper grant spending

・Someone instructed a trader to forge fictitious transaction pretending to have purchased expendables, made the university pay KAKENHI for them, and then instructed the trader to keep the money as deposit for future use.
・Someone instructed a trader to forge a fictitious transaction, obtaining a false invoice which carries item names different from those actually ordered and delivered, and then made the university pay KAKENHI for them.
・Someone instructed his/her students to submit false work attendance sheets, made the university pay KAKENHI for them, and then kept the money as a pooled fund of his/her lab.
・Someone visited destination not listed on the oversea travel itinerary, in order to have a meeting on cooperative research unrelated to the purpose of the KAKENHI research project.

(Note) The expenditure of KAKENHI for fictitious and other transactions, like the ones mentioned in the case examples above, are all considered "misappropriation or misuse", even if the expenditure was intended for the purpose of conducting the KAKENHI research project.

○ Fraudulent grant acquisition

・A researcher ineligible for KAKENHI funding made application and acquired a KAKENHI grant.

○ Research misconduct

・Someone manipulated or forged experimental data or figures in a research paper published as research achievement supported by KAKENHI.
・Someone published books of his/her achievement with KAKENHI which contained an article translated from anoriginal English research paper with no prior consent from the author(s) nor proper quotation statement.

6. Dissemination of Research Achievements supported by KAKENHI

KAKENHI research achievements are made available to other researchers and to the general public, through posting of the "Research Outline" and the "Report on the Research Achievements" on the Grants-in-Aid for Scientific Research (KAKEN) database operated by the National Institute of Informatics.

To promote dissemination of research achievements, KAKENHI can be used to cover such outreach-related expenses as preparation of website or printing of pamphlets. KAKENHI grantees are urged to actively pursue public promotion of their research achievements through the aid of KAKENHI so as to make them widely known to the public at large.

In this connection, KAKENHI grantees are encouraged to participate in the "HIRAMEKI ☆ TOKIMEKI SCIENCE" program, in which the latest science developments are presented to elementary, junior high and high school students in an easy-to-understand style.

In addition, please take note of the following issues as well.

(1) Acknowledgement of KAKENHI grant in research publications

When publishing research achievements of a KAKENHI project, researchers should be sure to express that the project has been supported by a KAKENHI grant, by stating in the "Acknowledgment" section of the paper the "JSPS KAKENHI Grant Number JP8 digits" in the case of English publication or "JSPS科研費 JP8桁の課題番号" in the case of Japanese publication.

〈Example〉
【English】This work was supported by JSPS KAKENHI Grant Number JP12K34567.
【Japanese】本研究は JSPS 科研費 JP12K34567 の助成を受けたものです。

(2) The implementation of the fair and conscientious research activities

The research using the KAKENHI should be carried out based on researcher's own self-awareness and responsibility. Therefore the publication on the implementation of the research or research achievements, etc. should not come from the government request and the views and responsibilities on the research achievements should be attributed to the researchers themselves.

On the occasion such as researchers release the research achievements using the KAKENHI broadly to the public, the examples of the indication noting that the research achievements are based on the personal views are given below.

〈Example〉
【English】Any opinions, findings, and conclusions or recommendations expressed in this material are those of the author(s) and do not necessarily reflect the views of the author(s)' organization, JSPS or MEXT.
【Japanese】本研究の成果は著者自らの見解等に基づくものであり、所属研究機関、資金配分機関及び国の見解等を反映するものではありません。

(3) Promotion of "Open Access" to the research papers supported by KAKENHI grants

Japan Society for the Promotion of Science (JSPS) endorses general policy of promotion of open access of publications of research results funded by public grants including KAKENHI. Note that open access is not mandatory if there are justifiable reasons for deferral such as copyright-related issues, or insufficient repository infrastructure at the research institution.

The open access implementation policy of JSPS is given on the following webpage:

URL: https://www.jsps.go.jp/data/Open_access.pdf

【Reference 1: What is “Open Access”】

Open access refers to the basic idea that research papers published in peer-reviewed journals should be made freely accessible by anyone.

【Reference 2: Different Routes to Open Access】

There are 3 main ways of open access implementation ((1) to (3) below)

(1) A way to make open the access to the article which is published in the conventional subscription fee type academic journal after a certain period (Embargo) (* 1) (for example 6 months later) by opening the final manuscript to an Institutional Repository (* 2) established by the research institution to which the author belongs, or by opening the final manuscript to the website etc. established by the researchers (self-archiving) (* 3).

(2) A way to make the article open access by posting the article on the Web established by the research community or public institution

(3) A way to make the article open access immediately by paying the publication fee (APC: Article Processing Charge) by the author of the article

*1: “Embargo”

The predetermined period from the time of publication of an article in an academic journal to the time of release so that it can be posted on an online open access archiving system (repository).

*2: Institutional Repository

An online archiving system created by university or research institution for storage and dissemination of the intellectual products. Institutional repositories play important roles in the reform of academic information distribution by enabling the researchers register their own articles, such as the transmission of research and education achievements of the research institution, PR for both the research institution and the researcher, guaranteeing the accountability of research and education activities towards society, and the long-term conservation of intellectual products.

*3: Self-archiving

”Self-archiving” refers to online posting of articles published in academic journals, dissertations, or data by those other than the publisher, (the researcher or research institution) generally on their institutional repositories.

7. Code of Conduct for Scientists to Adhere

To ensure the quality of scientific knowledge and to gain trust of society on scientists and scientific communities, it is essential to exercise fair and conscientious research activities with the adherence to the code of conduct for scientists. Applicants must understand and practice the contents of both the statement “Code of Conduct for Scientists‐Revised Version-” (section I. “Responsibilities of Scientists”) by the Science Council of Japan and the booklet “For the Sound Development of Science - The Attitude of a Conscientious Scientist -” (especially section I “What Is a Responsible Research Activity?”) issued by the Japan Society for the Promotion of Science (JSPS).

And also take note that upon the formal application for grant delivery, it shall be confirmed through the electronic application system whether the Principal Investigator and

Co-investigator(s) will have taken the research ethics education coursework, etc. (see page 44)

[Extraction from "Code of Conduct for Scientists – Revised Version –" by the Science Council of Japan dated on 25 January 2013]
I Responsibilities of Scientists
(Basic Responsibilities of Scientists)
1 Scientists shall recognize that they are responsible for assuring the quality of the specialized knowledge and skills that they themselves create, and for using their expert knowledge, skills and experience to contribute to the health and welfare of humankind, the safety and security of society and the sustainability of the global environment.
(Attitude of Scientists)
2 Scientists shall always make judgments and act with honesty and integrity, endeavoring to maintain and improve their own expertise, abilities and skills, and shall make the utmost effort to scientifically and objectively demonstrate the accuracy and validity of the knowledge they create through scientific research.
(Scientists in Society)
3 Scientists shall recognize that scientific autonomy is upheld by public trust and the mandate of the people, understand the relationships between science, technology, society, and the natural environment from a wide-ranging perspective, and act in an appropriate manner.
(Research that Answers to Social Wishes)
4 Scientists shall recognize that they are responsible for answering to the wishes of society to investigate into truths and to achieve various issues. When using research funds that are to be provided for establishing the research environment and for conducting research scientists shall always recognize that such broad social expectations exist.
(Accountability and Disclosure)
5 Scientists shall strive to disclose and actively explain the roles and significance of their own research, evaluate the possible effects of their research on people, society and the environment as well as the changes that their research might engender, neutrally and objectively disclose the results of this evaluation, and build a constructive dialogue with society.
(Dual Use of Scientific Research Outcomes)
6 Scientists shall recognize that there exist possibilities that their research results, contrary to their ownintentions, may be used for destructive actions, and shall select appropriate means and methods as allowed by society in conducting research and publicizing the results.
* URL: http://www.scj.go.jp/ja/scj/kihan/

["For the Sound Development of Science – The Attitude of a Conscientious Scientist –" by the Japan Society for the Promotion of Science (JSPS)]
(Japanese version (text version)) ("For the Sound Development of Science" Editorial Committee on JSPS)
* URL: https://www.jsps.go.jp/j-kousei/data/rinri.pdf

II. System Improvements in the Call for Proposals for Fiscal Year 2020

For the FY2020 call for proposals, the following improvements were made to the call for proposals by MEXT and JSPS in September 2019.

＜Items additionally improved under the grant "Fostering Joint International Research (A)"＞

1. About the revision of age limit in the application requirements

Up till last year's call, the applicants for this grant were eligible to apply if they had been selected for a Grant-in-Aid for Scientific Research (excluding "Overseas Scientific Investigation") or a Grant-in-Aid for Early-Career Scientists (Grant-in-Aid for Young Scientists) and were of an age between 36 and 45 years old. Additionally, the applicants who were under 36 years of age were eligible if they received their doctorates five or more years ago.

The FY 2020 call will not set the lower age limit to offer more opportunity to apply to KAKENHI grant holders for the following reasons:

1. The purpose of the grant is to markedly advance the projects by implementing them through international joint research. In so doing, it seeks to foster independent researchers who can play leading roles within the international scientific arena;
2. The grant sets the application requirement in which the applicant must have been selected for a Grant-in-Aid for Scientific Research or a Grant-in-Aid for Early-Career Scientists (Grant-in-Aid for Young Scientists).

For more details on the revision stated above, please refer to the following material.

The documents distributed at the 3rd meeting of Subdivision on Grants-in-Aid for Research in the Subdivision on Science, the10th Council for Science and Technology
URL: https://www.mext.go.jp/b_menu/shingi/gijyutu/gijyutu4/045/index.htm

< Items applied since the call opened in September, 2019>

2. Description of Research Achievements in the Research Proposal Document

○ Clarification that research achievements (publications, etc.) can be entered in the "Applicant's Ability to Conduct the Research and the Research Environment" column

The research achievements in the Research Proposal Document format is intended as a column to verify the applicant's ability to carry through the proposed research plan. To make this point clear, based on the deliberations at the Council for Science and Technology and elsewhere, the former "Research Achievements" column in the Research Proposal Document has been renamed to "Applicant's Ability to Conduct the Research and the Research Environment" starting from the

FY2019 call for proposals.

Upon this revision, it was intended that the applicant explains his/her ability to conduct the proposed research plan by appropriately citing selected research achievements (publications, etc.) in the revised "Applicant's Ability to Conduct the Research and the Research Environment" column. This intention based on the problem recognition and basic measures deliberated at the Council for Science and Technology and elsewhere has been stated in the Application Procedures and other documents. However, it appears that the intent of the format revision is not necessarily properly disseminated generating misunderstandings as if the research achievements are no longer allowed or no longer required in this column.

To clear the confusion, the intent of the format revision is more clearly stated in this "Application Procedures" document (see Reference 1). In addition, to further clarify that the applicant can include appropriately selected items of his/her research achievements in the "Applicant's Ability to Conduct the Research and the Research Environment" column, examples of format for citing selected publications appropriate in explaining the applicant's ability to conduct research in the Research Proposal Document are provided (see Reference 2).

Reference1: The summary on the discussion including in the Subdivision on Research Grant Screening Section of the Academic Deliberation in the Subdivision on Science, Council for Science and Technology

(Problem recognition, etc.)

○ During the review process, there seems to be a reality which is easily enable to distort what an application and a review per se should be, including the possibility to enumerate unnecessarily the achievements irrelevant to the research project in the "Research Achievements" column.

○ There seems to be a possibility that the "Research Achievements" column gives a wrong recognition that without filling in the column spaces with many of research achievements as possible, it might be disadvantage for applicants at the review.

○ There is still a room for consideration on the "way to make applicants describe" their research achievements and so on although it is necessary to verify them to assess their ability to conduct the research corresponding to the shared responsibility of the Principal Investigator and the Co-Investigators.

○ If there might be a possibility to provide applicants and others with a recognition that as if a performance over-emphasis principle be prevailing at the review in the KAKENHI, a rectification of it should be attempted as far as possible and a consideration to contrive to do so is required.

○ In case making continuous use of the "Research Achievements" column, a consideration enabling applicants to properly describe information necessary to assess their ability to conduct the research is required. (An impression as if the "filling in the column is just an important thing" should be dispelled.)

○ Regarding the assessment on the ability to conduct the research by using such as the research achievements, an attempt to foster a correct recognition for both sides of applicants and reviewers is required.

(Basic policy, etc. for the revision of the Research Proposal Document)

○ At the review of the KAKENHI, as for research projects proposed by the Principal Investigator, in association

with considering a scientific significance and creativity, a clarification of research objectives and so on, it is also intended to assess the researchers' ability to conduct the research strictly and to select appropriate research projects.

○ The positioning of the research achievements in the Research Proposal Document is for judging a practical feasibility of the research described in the Research Proposal Document before rolling out the research.

○ Based on the understandings above, the research achievements should be clearly defined that they are regarded as verifying the ability to conduct the research for the research plan.

Reference 2: Excerpt from Research Proposal Document "4 Applicant's Ability to Conduct the Research and the Research Environment"

Note:

1. The description in this column is to explain the feasibility of the research plan. On citing research achievements (research papers, books, patents, invited talks, etc.) they should be given not as an exhaustive list but as supporting evidence to prove the applicant's ability to conduct the proposed research.

2. Sufficient information should be given so that the reviewers can identify the research achievements. In the case of a research paper, for example, the relevant bibliographic information, including the title of the paper, the author(s), the title and the volume of the journal, the publication year, and the pages of the article should be given.

3. The research papers that can be cited are only those already published or accepted for publication.

4. These notes written in italics should be deleted when filling this column.

(For details, please see the Application Procedures for Grants-in-Aid for Scientific Research-KAKENHI- (Supplement))

< Notes: Items that are not applied to this call >

3. Relaxation of Restrictions on Parallel Grant Application/Receipt

In the KAKENHI system, different "Research Categories" are established on the basis of budget scale, contents, and other factors of the intended research, so as to meet various needs and research styles of the applicants.

On the other hand, in consideration of the necessity to support many high-level researchers with limited funding resources, and of the possible detrimental influence of overcrowding applications on the proper management of the review process, the "Rules for Restrictions on Parallel Submission of Research Proposals" have been set up. (For details of restrictions on parallel grant application/receipt.)

For the FY2020 call for proposals, some of the restrictions on parallel grant application/receipt have been relaxed in light of deliberation at the Subdivision on Grants-in-Aid for Research in the

Subdivision on Science, Council for Science and Technology and elsewhere.

The aim of the relaxation is to expand the opportunities for young researchers to take on challenges in research categories with larger budgets, and to promote challenging and high-level researches by a wider range of researchers.

For the contents of deliberation at the Council for Science and Technology and elsewhere, refer to the following documents:

○ Documents distributed at the 3rd meeting of Subdivision on Grants-in-Aid for Research in the Subdivision on Science, the 10th Council for Science and Technology

-Document 2-1 "Immediate Initiatives for KAKENHI Reform (Basic idea, etc. toward budgetary requests for FY2020) (draft)"

-Document 2-2 "Immediate Initiatives for KAKENHI Reform (Basic idea, etc. toward budgetary requests for FY2020) (draft) [Pertinent Material]"

https://www.mext.go.jp/b_menu/shingi/gijyutu/gijyutu4/045/shiryo/1418448.htm

○ Summary of Discussions by the KAKENHI Reform Promotion Taskforce (Revised Edition), Japan Society for the Promotion of Science (March 15, 2019)

https://www.mext.go.jp/b_menu/shingi/gijyutu/gijyutu4/045/shiryo/__icsFiles/afieldfile/2019/04/15/1415283_010.pdf

Expansion of Challenge Opportunities for Young Researchers

○ Relaxation of Restrictions on Parallel Grant Application for "Grant-in-Aid for Early-Career Scientists (Second Time)" and for "Grant-in-Aid for Scientific Research (S/A/B)"

The FY2019 budget for the Grants-in-Aid for Scientific Research was significantly increased. The funding to high-level young researchers was substantially strengthened by radical budget allocation for grant categories targeting mainly young researchers, "Early-Career Scientists[1]" and "Research Activity Start-up[2]" in particular. (The number of "Early-Career Scientists" grants newly adopted in FY2018: 6,256 (adoption rate: 30.7%) → that in FY2019: 7,831 (adoption rate: 40.0%).)

On the other hand, follow-up inspection of the influence of the discontinuation of call for proposals in the "Young Scientists (A)" since FY2017 has revealed the following trends: While a certain fraction of the researcher population that formally applied to the "Young Scientists (A)" category shifted to the "Scientific Research (B)" category comparable in budget scale, a greater fraction of the researcher population actually shifted to the "Scientific Research (C)" category with smaller budget scale. Furthermore, the number of young researchers applying to the "Scientific Research (S/A)" category with larger budget scale was extremely small, as ever. One of the conceivable reasons for such trends could be the difficulties young researchers are facing in their attempt to take risk of aiming higher for the development of their own research, under the current environment for young researchers in Japan with such problems as insecurity of research posts.

[1] Research conducted by an individual researcher who is less than 8 years after Ph.D. acquisition.
[2] Research to be conducted by a single researcher who has been freshly appointed to a research position, or who has returned from his/her maternity, childcare, or other kind of leave.

In order to advance the research capability of Japan amidst greater sophistication of research and intensification of international competition, it is essential to take a measure to encourage high-level young researchers to take risk of aiming higher for larger scale research. In the FY2020 call for proposals, the system improvement with the relaxation of restrictions on parallel grant application as described in the followings has been implemented, to reduce the risks in aiming higher for larger scale research as the next step, for those young researchers who have gained a certain level of experience through conducting research with an "Early-Career Scientists" grant, and thereby expanding the challenge opportunities for young researchers.

Relaxation of Restrictions on Parallel Grant Application for "Early-Career Scientists (Second Time) (*)" and for "Scientific Research (S/A/B)"

(*) In the FY2020 call for proposals, "Early-Career Scientists (Second Time)" shall mean "Early-Career Scientists" applied for by a researcher who is currently in the final fiscal year of an ongoing research project receiving an "Early-Career Scientists (First Time)" grant, or a researcher who has finished receiving the first time "Early-Career Scientists" grant in the past (in FY2018 or earlier) and is eligible to apply for the second time "Early-Career Scientists" grant. Note that the "Early-Career Scientists" category hereby encompasses the "Young Scientists (S/A/B)" categories in the former scheme.

(Note) Researchers cannot simultaneously receive an "Early-Career Scientists (Second Time)" grant and a "Scientific Research (S/A/B)" grant. (In case the both proposals are adopted, that in the "Scientific Research (S/A/B)" category shall be given priority.)

(Reference) Adoption of proposals of young researchers in FY2019 KAKENHI
The adoption rate of proposals of young researchers (researchers of age 39 or under) are relatively high compared to the overall adoption rate.

Research category		Number of applications	Number of adoptions	Adoption rate
Scientific Research (A)	Age 39 or under	84	29	34.5%
	Overall	2,412	605	25.1%
Scientific Research (B)	Age 39 or under	1,368	473	34.6%
	Overall	11,396	3,327	29,2%
Scientific Research (C)	Age 39 or under	4,751	1,945	40.9%
	Overall	45,758	12,918	28.2%

○ Relaxation of Restrictions on Simultaneous Receipt of a Grant in the "Grant-in-Aid for Research Activity Start-up" Category and Grants in Other Research Categories

The "Research Activity Start-up" is a research category targeted at young researchers and others who were not able to apply at the time of the regular application period for the "Scientific Research" and other research categories (call for proposals in September of the fiscal year prior to the grant delivery), to support the start-up phase of their research activities so as to smoothen the step-up to their subsequent research stage. The recipient of a "Research Activity Start-up" grant can submit new KAKENHI proposal(s) to the "Scientific Research" and other research

categories in subsequent fiscal years. However, formerly he/she was not allowed to receive the both grants simultaneously if the latter application(s) were adopted. (In that case, the second fiscal year grant for the "Research Activity Startup" would not be delivered.).

It is observed that the recipients of the "Research Activity Start-up" grants are overwhelmingly young researchers (researchers of age 39 or under). (The fraction of young researchers in the grantees of the "Research Activity Start-up" category in FY2018 was 85%.) It is also considered that letting the "Research Activity Start-up" grant recipient complete his/her research plan would contribute to more effective execution of research. For these reasons, starting from the FY2020 call for proposals, the above-mentioned restriction on simultaneous receipt of grants is eliminated, and thereby encouraging young researchers and others endowed with fresh and flexible ideas in their newly appointed research positions toward more ambitious challenges.

Relaxation of Restrictions on Simultaneous Receipt of a Grant in the "Research Activity Start-up" Category and Grants in Other Research Categories

-The recipient of a "Research Activity Start-up" grant which is on-going in FY2020 can newly receive grant(s) in the "Scientific Research" and other research categories in FY2020 if the latter are adopted, without giving up the former.

Promotion of Challenging Research

○Relaxation of Restrictions on Parallel Grant Application/Receipt for "Grant-in-Aid for Challenging Research (Pioneering)" and for "Grant-in-Aid for Scientific Research (B)"

"Challenging Research" is a research category started from the FY2017 call for proposals established by a constructive reorganization of the former "Challenging Exploratory Research" category so as to enable support of longer-term/larger scale research plans. The aim of this research category is to promote bold challenges that may transform the existing framework of science.

As for the "Challenging Research (Pioneering)" category, it has been recognized that the applicants/grantee population tends to lean toward relatively senior generation of researchers. The reason for this trend may be partly because parallel grant application was only permitted with the "Scientific Research (S/A)" category and partly because highly selective screening was exercised for this category as compared to the "Scientific Research" and other research categories as indicated by the adoption rate of about 10%.

In the FY2020 call for proposals, the system improvement with the relaxation of restrictions on parallel grant application/receipt as described in the followings has been implemented, with the perspective of further strengthening pioneering explorations of emerging interdisciplinary research areas, by promoting challenging high-level researches by a wider range of researchers.

Relaxation of Restrictions on Parallel Grant Application/Receipt for "Challenging Research(Pioneering)" and for "Scientific Research (B)"

-Formerly, grant application in parallel with an application to the “Scientific Research (B)” category was only permitted with the “Challenging Research (Exploratory)” category. Starting from the FY2020 call for proposals, grant application/receipt in parallel with the “Scientific Research (B)” category is also permitted with the “Challenging Research (Pioneering)” category.
-The “Challenging Research (Pioneering)” was transferred to the Multi-year Fund from FY2020 onward.

4. Establishment of Grant-in-Aid for Transformative Research Areas

Starting from the FY2020 call for proposals, a new research category “Transformative Research Areas” is to be established with the aim to lead the way to radical transformation of and change in the existing framework and/or direction of research from various perspectives. Such transformative researches are to be achieved by organic coordination of diverse research groups and with the participation of researchers who shall be bearers of the next generation of research.

(Background of Establishment)

The research category “Scientific Research on Innovative Areas (Research in a Proposed Research Area)” was established in FY2008 for the purpose of supporting research projects to be conducted by multiple research groups involving a wide range of researchers in related research areas so as to develop new research areas that will lead to upgrade and level-up of scientific research in Japan. Approximately 250 research areas have been adopted in the past 12 years.

This scheme of group research in this category has proved instrumental in achieving, for example, creation of new ideas through discussions among interdisciplinary researchers gathered in the research area, establishment of a framework to address the new issues/themes systematically transcending the disciplines, invigoration of the research fields by enabling young researchers to participate in the research area, and human resources development. With a basic recognition that this research category has been successful, the “Transformative Research Areas” is to be newly established in order to achieve greater success, with the following perspectives:

- In addition to supporting researchers engaged in the formation of large scale research areas from the beginning of the research, it is necessary to support researchers who conduct challenging and exploratory research on a small scale, in small groups, and in short term, then based on the results consequently engage in large scale research areas.
- In order to create research areas that will lead to the radical transformation of and change in the existing framework and/or direction of research, it is necessary to further encourage the participation of a wide range of relevant researchers.
- For the upgrade of research capacity in Japan with a midterm perspective, it is necessary to 23 further promote participation of researchers who will be the bearers of the next generation of research, with expectation that they will lead emerging and interdisciplinary research areas 10years from now.

(Outline of the Research Category)

The name of the new research category shall be “Transformative Research Areas”. The purpose of this research category is to promote the creation of research areas that will radically transform and change the existing framework and/or direction of research with proactive involvement of researchers who will be bearers of the next generation of research (researchers of age 45 or under[3]). According to such factors as the grant scale, research period, and others, two sections are to be installed; “Grant-in-aid for Transformative Research Areas (A)” and “Transformative Research Areas (B)”.

“Transformative Research Areas (A)” is a section replacing the former “Scientific Research on Innovative Areas (Research in a Proposed Research Area)”. This section is open to research proposals that aim to generate renovation and/or transformations in academic areas so as to create emerging and interdisciplinary areas transcending the existing framework of academic disciplines, or research proposals that aim for a truly drastic advancement of the leading-edge portions of a particular academic discipline. For this section, in view of the future development of the research areas, “Publicly Invited Research” will be installed so as to encourage participation of diverse researchers, while taking appropriate measures for nurturing of young researchers.

“Transformative Research Areas (B)” is a section to be established with a new concept. It is a section for more challenging and exploratory research conducted by a compact group of researchers in a short term and with a smaller budget scale. It is expected that it will lead to “Transformative Research Areas (A)” in the future. It is open to research proposals that aim to generate new changes and transformations in academic areas, consequently to create emerging and interdisciplinary areas beyond existing academic disciplines. In view of a midterm development of the research areas, in order to nurture the ability to lead and manage the group research, the Head Investigator shall be a researcher who will be a bearer of the next generation of research.

[3] Age as of April 1 of the fiscal year when grant will be delivered. Namely, in case of the FY2020 call for proposals the researchers of age 45 or under as of April 1, 2020.

III. Call for Proposals

1. Research Categories for which a Call for Proposals is Organized

Fund for the Promotion of Joint International Research
(Fostering Joint International Research (A)): KAKENHI (Multi-year Fund)

A) Purpose:

This grant supports KAKENHI grant recipients who are currently carrying out KAKENHI research projects. Its purpose is to markedly advance those projects by implementing them through international joint research, thereby achieving enhanced research results. In so doing, the grant seeks to foster independent researchers who can play leading roles within the international scientific arena.

*The category Fostering Joint International Research (A) supports two types of research plans. A plan for further advancing root projects that have already made some progress through international joint research, and a plan for advancing newly initiated root projects carried out in parallel and interactively with international joint research.

B) Funding target:

A single researchers who meets the below application requirements may apply. His/her research plan must include conducting international joint research with overseas joint researchers for a set period of time at one or more overseas universities or research institutions. The grant does not support simple overseas dispatches such as for studying abroad.

C) Application requirements:

- The applicant must have been selected for a Grant-in-Aid for Scientific Research (excluding "Overseas Scientific Investigation") or a Grant-in-Aid for Early-Career Scientists (Grant-in-Aid for Young Scientists) as of 1 April 2020. At the time of this grant application, s/he must be a Principal Investigator in that currently implemented Grant-in-Aid project.
- The Applicant who is 45 years of age or under as of April 1, 2020 (she/he who was born after April 2, 1974.)

D) Range of total budget:

Up to ¥12 million to include costs for "Travel Expenses and Accommodation Fees", "Research Funding" and "Cost of Replacement Staff".

* Consideration will be given to allotting applicants the full amount of their requested in their application form.

E) Period of overseas stay:

A total of at least 6 months. In principle, the stay should be for a period of from 6 months to one year. Within the funding period of adopted projects, permission may be given to extend an

overseas stay for longer than one year. During the overseas stay, visits back to Japan may be permitted as long as they do not impede the grantee's research activities in the counterpart institution(s).

F) Funding period:

After receiving official grant approval and having coordinated and made preparations with your overseas counterpart institution(s) and your affiliated institution in Japan, you should submit an application for funding disbursal no later than 31 March 2022. Your overseas research must begin by the fiscal year following the year you submitted your funding application. The grant funds may be spent after your institution makes a formal application for grant delivery. (You may not spend the funds immediately after receiving an informal decision of grant approval.) Starting from the fiscal year that the funding request is made, the grant may be spent up to the end of the third fiscal year irrespective of the last year of the research plan which you are currently implementing.

<Important Notes>

1) The application for funding disbursal must be withdrawn if the overseas research plan is not determined by 31 March 2022, precluding the submission of a formal application for grant delivery (Except in the case of the funding request being withheld in connection with taking maternity or childcare leave or a research stay abroad, etc.).

2) The eligibility regarding the age limit for this call has been changed from 'applicant who is between 36 and 45 years of age' to 'applicant who is 45 years of age or under.' (Please refer to page 15 for more details.)

3) In principle, the overseas counterpart institution(s) to which you planned to visit at the time of application cannot be altered. Therefore, you must apply for permission from JSPS if you should change the institution(s) you will visit for unavoidable reasons after receiving the notification of either the provisional or the formal decision to offer the grant-in-aid.

4) At the time of application for this grant, the following researchers are excluded from applying: Researchers scheduled to receive a grant to participate in an overseas dispatch or overseas research activity over a long period under a project related to international joint research or international exchange administered by the Japanese government or by an independent administrative institution. This includes, for example, researchers selected (including provisionally selected) to participate in the JSPS "Program for Postdoctoral Fellowships for Research Abroad". If you are currently carrying out or scheduled to carry out some other project funded or commissioned by the Japanese government or by an independent administrative institution (etc.), please consider the implementation of that project when applying for this grant.

5) Upon returning to Japan after your overseas stay, you are asked to cooperate with the Japan Society for the Promotion of Science (JSPS) in conducting its follow-up survey.

2. Schedule from Application to Grant Delivery

(1)Procedures that need to be completed prior to the deadline for the submission of the application documents

Principal Investigator should sufficiently cooperate with the research institution, and should adequately respond to its requests.

The Date and Time	**Procedures to be Performed by the Principal Investigator** (See "IV Instructions for Prospective Applicants")	**Procedures to be Performed by the Research Institution** (See "VI Instructions & Procedures for Administrative Staff of Research Institution")
From July 1, 2020 Start of the Call for Proposals		Procedures to be completed, if the need arises 1) The Research Institution obtains an ID and Password for e-Rad from the person in charge of the operation of e-Rad (This does not apply if the research institution already obtained them.) ※The issue of the ID and the Password takes about 2 weeks. 2) Changing Principal Investigator's information registered on e-Rad
	1) Preparing the Application The Principal Investigators should access the Electronic Application System using the ID and the e-Rad Password which has been provided by the research institution and preparing the application.	3) Submission of the "Self-assessment Checklist on the Implementation of the System", based on the "Guidelines on the Management and Audit of Public Research Funds at Research Institutions" Submission of the "Checklist Pertaining to the Current Status" based on the "Guidelines for Responding to Misconduct in Research" If the checklist has already been submitted in April 2019 or later through e-Rad, it is not necessary to submit it again.
	2) Submission (Sending) of the Application Documents The Principal Investigator should submit (send) the application documents to the research institution he/she belongs to, by the deadline decided by the research institution.	
September 3 (Thursday) **4:30 pm** **Deadline for the Submission** **(to be strictly observed)**		4) Submission (Sending) of the Application Documents

Notes:

1. After the Principal Investigator submit (Sending) to the application to the research institution (mentioned in "Procedures to be Performed by the Principal Investigator" 2)), the research institution should submit (Sending) to the JSPS the application the application by the deadline for the submission (mentioned in "Procedures to be Performed by the Research Institution" 4)).
   Next, he or she should verify the section "Preparation of the KAKENHI Application Form (Research Proposal Document)" (pages 35-44), etc. as well as verify the procedures designated by the research institution, etc.

(deadline for the submission of the application, etc., in the research institution) with the office worker in charge in the research institution.

2. When the researcher is applying for KAKENHI, he or she should register the researcher information beforehand in e-Rad. The research institution should perform the registration in e-Rad. Therefore, the researcher who is planning to apply should verify the state of the registration with the office worker in charge in the research institution.

3. The research institution should submit a "Self-assessment Checklist on the Implementation of the System", based on the "Guidelines on the Management and Audit of Public Research Funds at Research Institutions (Implementation Standards)" and a "Checklist Pertaining to the Current Status" based on "Guidelines for Responding to Misconduct in Research" (mentioned in "Procedures to be Performed by the Research Institution" 3)). If it has not been submitted, no official grant decision will be made for the researchers belonging to the research institution in question.The research institution that did not submit these two checklists in FY2019 should submit them in FY2020 format after April 1, 2020 onwards.

(2) Schedule after the Submission of the Application Documents (plan)

If after receiving a provisional grant decision approval your overseas research plan is determined, a formal application for grant delivery may be submitted at any time before 31 March 2022.

Fostering Joint International Research (A)
October 2020 to January 2021: Review
February 2021: Provisional grant decision※1
February 2021 Disclosure of review results
By 31 March 2022: Formal application for grant delivery (whenever preparations are ready)
After formal application for grant delivery: Official grant decision (whenever preparations are ready)
After official grant decision: Grant delivery※2

※1 Depending on the volume of grant applications received, the date of the provisional grant decision may be delayed.

※2 Even for amounts of ¥3 million or more, the grant will be remitted in one lump sum.

IV. Instructions for Prospective Applicants

1.Procedures to be Completed Prior to Application

Three things need to be done before applying: (1) Ascertainment of the Eligibility for KAKENHI Application, (2) Confirmation of the Researcher Information Registered in the e-Rad System, (3) Confirmation of the ID and the Password to Use the Electronic Application System.

(1) Ascertainment of the Eligibility for KAKENHI Application

Under the grant "Fostering Joint International Research (A)," projects that are being carried out in the KAKENHI categories of "Grant-in-Aid for Scientific Research (excluding "Overseas Scientific Investigation")" or "a Grant-in-Aid for Early-Career Scientists (Grant-in-Aid for Young Scientists)" at the time of grant application are hereinafter called "root research projects." This Fund works to markedly advance those projects.

To apply for a grant under "Fostering Joint International Research (A)", a researcher must have the eligibility for KAKENHI application and meet the below application requirements for "Fostering Joint International Research (A)".

If a researcher has the KAKEHI application eligibility at two or more research institutions, he/she must choose one of them to make his/her grant application. The application may be made from a research institution other than the one administering the researcher's root research project.

【Eligibility for KAKENHI application】

① **At the time of the proposal submission, a researcher needs to have been approved by his/her research institution (*) as an eligible researcher who meets the Requirements 1), 2) and 3) stated below, and have his/her Researcher Information properly registered in the e-Rad system as eligible for KAKENHI application.**

Requirements

1)**The applicant must be an individual belonging to a research institution with job assignment including research activity within the said institution.** (Whether the job is paid/unpaid, or full-time/part-time is irrelevant. It is not a prerequisite of eligibility that the research activity constitutes the main part of his/her job.)

2) **The applicant must be actually engaged in research activity in his/her research institution.** (Those who are only engaged in research assisting jobs are ineligible.)

3) **The applicant must not be a graduate student or any other categories of student.** (An individual who has a position in a research institution with research activity as his/her main job (e.g., university teaching staff, researcher belonging to a company, etc.), and holds a

student status at the same time.)

(*): Here, the research institution must be such that designated according to the Article 2 of the "Rules for the Handling of Grants-in-Aid for Scientific Research" (issued by the MEXT)

(Reference) Requirements that the research institution must meet (see page 50):

Requirements

- The research institution must authorize the research project for which KAKENHI is granted, as its proper activity.
- The research institution must take responsibility for management and accounting of the KAKENHI delivered to its researcher staffs.

② **The individual must not be categorized as ineligible for grant acquisition in FY2020, as a penalty for his/her improper grant spending, fraudulent grant acquisition, or research misconduct.**

【Application Requirements for "Fostering Joint International Research (A)"】

① **The applicant must have been selected as of 1 April 2020. At the time of this grant application, he must be a Principal Investigator in that currently implemented for a Grant-in-Aid for Scientific Research (excluding "Overseas Scientific Investigation") or a Grant-in-Aid for Early-Career Scientists(Grant-in-Aid for Young Scientists)**

② **The Applicant who is 45 years of age or under as of April 1, 2020 (she/he who was born after April 2, 1974.)**

The PIs constitute the "members of funded projects", as stipulated in the Law on the Improvement of the Administration of the Budget for Grants-in-Aid (1955, Law no. 179). In an event that they have committed improper grant spending, fraudulent grant acquisition, research misconduct, etc., the eligibility for KAKENHI application will be suspended for a period of time specified by the rule.

In addition, it may happen to researchers that they are treated as indicated below, even if a researcher has application eligibility of Fostering Joint International Research (A).

- 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 from researchers who do not submit the report on the research achievements at the end of the research period, 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.

Under the grant "Fostering Joint International Research (A)," the grantee's stay overseas must be for a period of 6 months or longer. Therefore, it may be necessary to replace the grantee at his/her institution during the overseas stay. The grant may be used to cover the cost of the replacement staff. Whereas grantees do not necessary need to finish coordinating with their affiliated institution(s) on how to carry their duties at the time of application submittal, they do need to coordinate with their affiliated institution beforehand to lay the groundwork for a smooth overseas stay.

In the case of an applicant with two or more affiliated institutions, the institution(s) from which s/he does not make the grant application is referred to here as "other institution(s)." Applicants may have duties at the other institution(s) that will be difficult to carry out in their absence. In this case, they should carry out sufficient coordination with the other institution(s) before they embark upon their overseas stay.

If funding is required to cover the cost of replacement staff at the other institution(s), the applicant should request it from the research institution from which s/he applied for the grant (the institution that will administer the grant funds). Thusly, it is possible to use the grant funds for this purpose.

(2) Confirmation of the Researcher Information Registered in the e-Rad System

To apply for a grant under Fostering Joint International Research (A), the Principal Investigator must be eligible at the time of the submission (sending) of application from his/her affiliated institution to JSPS and be registered in the e-Rad system as "Eligible to Apply for KAKENHI.""

Therefore, the Principal Investigator must first verify the content of his/her registration in e-Rad.

The registration in the e-Rad system is handled by **the research institution** to which the researcher belongs. The researcher should check with the administrative section of his/her institution about the registration procedures including the registration deadline within the institution, the method of confirmation of the current contents of registration, etc. If any of the entry items (such as "affiliation", "position", etc.) of the researcher who has been already registered in the e-Rad system need updating, they should be duly completed.

(3) Confirmation of the ID and the Password to Use the Electronic Application System

Your e-Rad ID and password will be issued when your research institution completes your researcher registration on e-Rad. When applying, access the Electronic Application System using

your e-Rad ID and password and prepare the application documents

Moreover, once the ID and the password have been provided, they can be used, even if the applicant changes the research institution to which they belong. The applicant must strictly protect the login ID and password in order to prevent them from being disclosed to others.

2. Restrictions on Parallel Grant Application/Receipt

A researcher who intends to submit research proposal(s) to KAKENHI should be well acquainted with the "Restrictions on Parallel Grants Application/Receipt" before starting preparation of research proposal document(s) to check if applications to the intended categories are permitted.

(1) The Basic Policy for Restriction on Parallel Grant Application/Receipt

KAKENHI consists of different "Research Categories" and "Application Sections" set on the basis of budget scale, content, and other factors of the intended research, so as to meet various needs and research styles of the applicants.

On the other hand, in consideration of the necessity to support many excellent researchers with limited funding resources, and of the possible detrimental influence of overcrowding applications on the proper management of the review process, the "Rules for Restrictions on Parallel Submission of Research Proposals" have been set up, according to the following basic principles.

① Give considerations so as to ensure that as many excellent researchers as possible can be supported with limited funding resources.
② Give considerations so as to ensure that the number of applications does not become excessive in comparison with the review scheme of each research category.
③ The restrictions to be enforced are primarily directed to the applicant as Principal Investigator (PI) who bears all responsibility for the implementation of the research project(s). In some cases such as the research categories with large budget scale, however, the restrictions may be also extended to individuals as the Co-Investigator (Co-I).
④ The restriction on parallel submission of research proposals and the restriction on simultaneous receipt of grants are separately set on each of the KAKENHI categories, in accordance of the basic concepts outlined above and by taking into consideration the purpose, characteristics and other factors of each KAKENHI category

Restrictions on parallel grant application/receipt do apply to the current round of call for proposals.

Accordingly**, <u>the applicant should be well acquainted with the description the rules given below, and the "Table of Restrictions on Parallel Grants Application/Receipt" (see page 33).</u>**

In case a particular research project falls under the concept of "unreasonable duplication" as put forward in the "Guidelines on the Proper Implementation of Competitive Funding" (see pages 6-8), it may be judged as such in the review process. Therefore, the applicant should take due

precautions in preparing his/her research proposal document.

(2) Restrictions on Parallel Grant Application/Receipt

The applicant should be well acquainted with the "Table of Restrictions on Parallel Grants Application/Receipt" (see page 33), and the description the rules given below.

1) Consequently, he/she cannot make more than one application for Fostering Joint International Research (A) at the same time. The same applies if the applicant is carrying out two or more root projects concurrently.

2) There is no restriction on parallel grant application/receipt between a research project in this grant category and one in another grant category other than Fostering Joint International Research (B). (However, there is a restriction on overlapping implementation between the root project and project(s) in another grant category.)

3) If a research project is selected under this grant category, it may be carried out concurrently with the root project.

4) One researchers may receive only one grant under the Fund for the Promotion of Joint International Research (Fostering Joint International Research) and Fostering Joint International Research (A). (Here, "receive a grant" means receiving the grant after the funding request is approved.) Researchers whose projects were selected under the FY2019 Fund are not allowed to apply for a grant under the FY2020 Fund even if their FY2018 formal application for grant delivery was not submitted due to unfinished coordination with the applicant's affiliated institution in Japan or with his/her overseas counterpart institution.

(3) Important Notes

1) Even if parallel submission of research proposals, etc. is possible according to the rules on restriction of duplication, the researcher should consider the restrictions in case of "Situations where the applicant cannot carry out his/her responsibility as a Principal Investigator or a Co-Investigator (*kenkyū-buntansha*), due to participation in multiple research projects." Altogether, he or she should consider the content of "Elimination of Unreasonable Reduplication and Excessive Concentration" mentioned on pages 7-8.

2) Even if an application is received on the Electronic Application System, it may not be screened due to the restriction on parallel grant application/receipt. Please verify this before submitting your application documents.

3) Although there are no restriction on parallel grant application/receipt between KAKENHI and other competitive funding schemes, applicants should consider the content of the section "Eliminate Unreasonable Reduplication and Excessive Concentration" mentioned on pages 7-8. As stated on page 24, researchers should also consider whether or not they are

scheduled to receive a grant to participate in an overseas dispatch or overseas research activity over a long period via an overseas joint research or exchange project implemented under the program “Postdoctoral Fellowships for Research Abroad,” other Japanese government program, or independent administrative institution program.

Attached Table　Table of Restriction on Parallel Grant Application/Receipt

Restriction on Parallel Grant Application/Receipt between Fund for the Promotion of Joint International Research and Fostering Joint International Research (A)

Column A			**Column B**: Fostering Joint International Research (A) — New Proposal — Principal Investigator
Fostering Joint International Research	Continued	Principal Investigator	▲
Fostering Joint International Research (A)	New Proposal	Principal Investigator	×
	Continued	Principal Investigator	▲
Fostering Joint International Research (B)	New Proposal	Principal Investigator	×
		Co-Investigator	
	Continued	Principal Investigator	×
		Co-Investigator	

※If you have applied for Fostering Joint International Research (B) in FY 2020 as a Principal Investigator, you may not apply for Fostering Joint International Research (A).

※If your proposal have been adopted for Fostering Joint International Research (A), you may not apply in parallel as a Principal Investigator for Fostering Joint International Research (B), which is scheduled for a future call.

Blank cell: The researcher can apply for both research projects.

×: The researcher can only apply for one research project (in case he or she applied for a research project mentioned in column A, he or she cannot apply for a research project mentioned in column B).

▲: The researcher cannot apply for a research project mentioned in column B (He or she only implements the research of a continued research project mentioned in column A).

3. Root Research Projects and Other Research Projects

(1) Projects qualified as "root research projects"

Research projects selected as of 1 April 2020 under Grant-in-Aid for Scientific Research (excluding "Overseas Scientific Investigation") or Grant-in-Aid for Early-Career Scientists (including Grant-in-Aid for Young Scientists) whose implementation is ongoing at the time this grant application is submitted.

Qualified also are research projects that have been extended for the purpose of maternity leave or childcare leave and are still ongoing in FY 2020 and projects that are suspended in FY 2020 for maternity or childcare leave or research stay abroad, etc. (This includes ongoing single-year projects whose formal application for grant delivery in being withheld due to maternity or childcare leave or research stay abroad, etc. taken in FY 2020.).

* Projects not qualified as "root research projects"

- Research projects scheduled to end in FY 2019 approved for carry-over to FY 2020 (single-year projects and partial Multi-year Fund projects) and projects approved for extension into FY 2020 (partial Multi-year Fund projects and Multi-year Fund projects, excluding projects extended for maternity or childcare leave).
- Research projects in their last fiscal year whose Principal Investigator applied in the previous year for a Grant-in-Aid for Specially Promoted Research or Grant-in-Aid for Scientific Research (S) and was selected for the grant.
- Research projects whose formal application for grant delivery was withdrawn or scheduled to be abolished by the Principal Investigator due the restriction on parallel grant application/receipt or other reasons.
- A research project newly selected in or before FY 2020 whose funding request is being withheld.
- A research project newly selected in FY 2020 under Grant-in-Aid for Scientific Research (S).

(2) Conducting research under both a root project and another project(s)

Regarding the concurrent implementation of a root research project and another KAKENHI research project(s): Even if the Principal Investigator of the root project is staying overseas, the other project(s) may be continued if it can be carried out by a co-investigator (etc.) under the responsibility of the Principal Investigator.

4. Preparation of the KAKENHI Application Form (Research Proposal Document)

Grants-in-Aid for Scientific Research is a competitive funding intended to provide financial support for creative and pioneering research conducted by individual researchers. Therefore, the contents of the Research Proposal Document must be original planned by the applicant.
In preparing Research Proposal Document, plagiarism and/or misappropriation of the research contents of others are strictly impermissible. Applicants must comply with research ethics.

For submission of a research proposal, the applicant (Principal Investigator) has to complete the relevant Research Proposal Document. The Research Proposal Document consists of two parts: "Items to be entered in the Website" and "Forms to be uploaded as an attached file".
The Principal Investigator (applicant) should complete the Research Proposal Document (PDF file) by entering the "Items to be entered in the Website" and by uploading the "Forms to be uploaded as an attached file" to the Electronic Application System. Then he/she should submit the Research Proposal Document to the administrative section of his/her research institution, by the deadline set by the institution.

Preparation and submission of the KAKENHI Research Proposal Document should follow the procedures detailed below.

(1) Revision of the Research Proposal Document

In the process of the Reform of the KAKENHI Review System, Research Proposal Document has been reviewed since FY 2018 call (announced in September 2017). The revision to the FY2019 call(announced in September 2018) includes the instructions on describing achievements in the column of research achievements.
In the "Fostering Joint International Research(A)", several changes in the Research Proposal Document such as follows have been made from the FY2019 call for proposals.

- Based on the purpose of this category, revisions have been made on the structure of Research Proposal Document. Also, the contents of description an applicant should provide in each column have been specified.
- The "Research Achievements of the Principal Investigator (PI) and Co-Investigator(s) (Co-I(s))" column in the Research Proposal Document is to be changed to the "Applicant's Ability to Conduct the Research and the Research Environment" column in accordance with the rating elements.

Furthermore, the summary on the discussion related to the revision of the "Applicant's Ability to Conduct the Research and the Research Environment" column such as in the Subdivision on Research Grant Screening Section of the Academic Deliberation in the Subdivision on Science, Council for Science and Technology is as follows.

(Reference) The summary on the discussion including in the Subdivision on Research Grant Screening Section of the Academic Deliberation in the Subdivision on Science, Council for Science and Technology

(Problem recognition, etc.)

○ During the review process, there seems to be a reality which is easily enable to distort what an application and a review per se should be, including the possibility to enumerate unnecessarily the achievements irrelevant to the research project in the "Research Achievements" column.

○ There seems to be a possibility that the “Research Achievements” column gives a wrong recognition that without filling in the column spaces with many of research achievements as possible, it might be disadvantage for applicants at the review.
○ There is still a room for consideration on the “way to make applicants describe” their research achievements and so on although it is necessary to verify them to assess their ability to conduct the research corresponding to the shared responsibility of the Principal Investigator and the Co-Investigators.
○ If there might be a possibility to provide applicants and others with a recognition that as if a performance over-emphasis principle be prevailing at the review in the KAKENHI, a rectification of it should be attempted as far as possible and a consideration to contrive to do so is required.
○ In case making continuous use of the “Research Achievements” column, a consideration enabling applicants to properly describe information necessary to assess their ability to conduct the research is required. (An impression as if the “filling in the column is just an important thing” should be dispelled.)
○ Regarding the assessment on the ability to conduct the research by using such as the research achievements, an attempt to foster a correct recognition for both sides of applicants and reviewers is required.

（Basic policy, etc. for the revision of the Research Proposal Document）

○ At the review of the KAKENHI, as for research projects proposed by the Principal Investigator, in association with considering a scientific significance and creativity, a clarification of research objectives and so on, it is also intended to assess the researchers’ ability to conduct the research strictly and to select appropriate research projects.
○ The positioning of the research achievements in the Research Proposal Document is for judging a practical feasibility of the research described in the Research Proposal Document before rolling out the research.
○ Based o n t he understandings above, the research achievements should be clearly defined that they are regarded as verifying the ability to conduct the research for the research plan.

(2) Preparation of KAKENHI Research Proposal Document

For the preparation of the KAKENHI research proposal document, the applicant must first access the Electronic Application System using his/her e-Rad ID and Password.

On the Research Proposal Document

The KAKENHI Research Proposal Document consists of the following two parts:

Items to be entered in the Website:

Items to be directly entered by the Principal Investigator (applicant) on the website of the KAKENHI Electronic Application System

Forms to be uploaded as an attached file:

A part containing such entries as “Significance and Necessity of the Joint International Research” and “Research Objectives, Research Method of the Joint International Research, etc.”, etc. to be prepared by downloading the form from the “Grants-in-Aid for Scientific Research - KAKENHI” page within the JSPS website (https://www.jsps.go.jp/j-grantsinaid/index.html), and by uploading the filled form to the KAKENHI Electronic Application System so as to compile a PDF file of the research proposal document. **(Paper-based applications will not be accepted.)**

Research category Application Section	Research Proposal Document		
	Items to be entered in the Website (First part)	Forms to be uploaded as an attached file (File ID)	Items to be entered in the Website (Second part)
Fostering Joint International Research (A)	To be entered in the electronic application system (Title of research project, Fundamental data on the research project such as total budget, Data on the project members, etc.)	S-61	To be entered in the electronic application system (Research Expenditure and Description of Each Expenditure Categories, The Status of Application and Acquisition of Research Grants, etc.)

* Forms can be downloaded from the "Grants-in-Aid for Scientific Research - KAKENHI" page within the JSPS website (URL: https://www.jsps.go.jp/j-grantsinaid/index.html) even before the obtaining of the e-Rad ID and password.

(3) Electronic Submission of the Research Proposal Document

1) An applicant to the research category "Fostering Joint International Research (A)" should prepare his/her Research Proposal Document (PDF file) by entering the "Items to be entered in the Website" and by uploading the separately prepared "forms to be uploaded as an attached file" to the Electronic Application System, following the instructions in the "FY2020 Procedures for Preparing and Entering a Research Proposal Document for "Fund for the Promotion of Joint International Research (Fostering Joint International Research (A))"" and "FY2020 Procedures for Preparing and Entering a Research Proposal Document (items to be entered in the Website) (Fund for the Promotion of Joint International Research (Fostering Joint International Research (A))".

2) The compiled books of the submitted KAKENHI Research Proposal Documents to be sent to the reviewers are in black-and-white (gray scale) print. Therefore, in preparing the Research Proposal Document, the applicant should pay attention to the clarity of the figures when printed in gray scale.

3) The Research Proposal Documents are collected and submitted to JSPS by the research institution to which the Principal Investigators (applicant) belong. Therefore, the applying Principal Investigator **should submit his/her Research Proposal Document to the administrative section of his/her research institution by the deadline set by the institution. (It is not allowed to submit the Research Proposal Document directly to JSPS.)**

Before submission, the applying Principal Investigator should carefully check the contents of the Research Proposal Document (PDF file) he/she prepared, and subsequently proceed to the "Check Completed and Submission" stage of the submission process. (This amounts to submitting the Research Proposal Document (PDF file) to the administrative section of his/her

research institution.) After the "Approval" process by his/her institution, no further corrections or modifications to the submitted Research Proposal Document (PDF file) is possible.

4) The personal information included in the Research Proposal Document will be used for the elimination of "unreasonable duplication and/or excessive concentration in the allocation of competitive funds" and for the appropriate funding of KAKENHI grants. (This includes providing the data to external contractor(s) in charge of electronic processing and management of the KAKENHI data.) The information included in the Research Proposal Document is to be provided to the e-Rad system. (The information registered in the e-Rad system is utilized for proper assessment of research and development by national funding, development of effective and efficient comprehensive strategy, planning and development of resource allocation policy, etc. Therefore the information will be supplied to the Cabinet Office through the e-Rad system. The applicant may be requested to cooperate in verification of the information and other related works.) The information on the adopted KAKENHI projects (the title of research project, the name of PI, and his/her affiliated research institution, the grant to be delivered, research period, etc.) is categorized as "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). The information will be made public through press release materials, the database of Grants-in-Aid for Scientific Research (KAKEN) of the National Institute of Informatics, and other means. The researchers and their affiliated research institutions are requested to carry out the application procedures (including 3) above) with full understanding of the information handling (utilization, provision and disclosure) stated above.

Important Checkpoints of the Research Proposal Document

In preparing a Research Proposal Document, the applicant should pay attention to the following points among others, so as to avoid "outright rejection by incompleteness of the research proposal document".

1. Qualification as a KAKENHI project

The following kinds of research plans fall outside the scope of funding target:

A) A research plan which merely aims at purchasing ready-made research equipment.

B) A research plan whose purpose is to build a large-size research facility or equipment which is more appropriate to be funded by other resources.

C) A research plan whose purpose lies at developing and selling goods and/or services (including market research associated with such as them).

D) An entrusted research conducted as regular business.

E) A research plan with a yearly budget **less than 100,000 yen**.

2. Eligibility of the Project Members

The Principal Investigator (see page 40) may organize a research team with appropriate combination of Research Collaborators(s) (see page 40-41), as needed by the nature of the research project.

Also, The Principal Investigator is subject to verification of their KAKENHI eligibility by their respective research institute by the time of proposal submission (See Notes below).

On the other hand, to be a Research Collaborators, registration to the e-Rad system is not a requirement.

Requirements

1) **The applicant must be an individual belonging to a research institution with job assignment including research activity within the said institution.** (Whether the job is paid/unpaid, or full-time/part-time is irrelevant. It is not a prerequisite of eligibility that the research activity constitutes the main part of his/her job.)
2) **The applicant must be actually engaged in research activity in his/her research institution.** (Those who are only engaged in research assisting jobs are ineligible.)
3) **The applicant must not be a graduate student or any other categories of student.** (An individual who has a position in a research institution with research activity as his/her main job (e.g., university teaching staff, researcher belonging to a company, etc.), and holds a student status at the same time.)

(*): Here, the research institution must be such that designated according to the Article 2 of the "Rules for the Handling of Grants-in-Aid for Scientific Research" (issued by the MEXT)

(Reference) Requirements that the research institution must meet (see page 50):

Requirements

- The research institution must authorize the research project for which KAKENHI is granted, as its proper activity.
- The research institution must take responsibility for management and accounting of the KAKENHI delivered to its researcher staffs.

KAKENHI employee is generally bound by their employment contract to concentrate on the research work relevant to the employment-related work specified in his/her employment contracts. Therefore, such a KAKENHI employee cannot apply for Fostering Joint International Research (A) which is to be conducted within the working hours of his/her employment.

The PIs constitute the "members of funded projects", as stipulated in the Law on the Improvement of the Administration of the Budget for Grants-in-Aid (1955, Law no. 179). In an event that they have committed improper grant spending, fraudulent grant acquisition, research misconduct, etc. the eligibility for KAKENHI application will be suspended for a period of time specified by the rule.

In the following cases, an individual registered in the e-Rad system as "eligible for KAKENHI application" may be subject to different treatment.

・In case the research institution to which the individual belongs has made a judgement that it is not appropriate to let the individual conduct the said research activity as a part of his/her work within the institution, the institution may withhold the submission of his/her KAKENHI proposal, or may withhold the formal application for grant delivery of a provisionally adopted KAKENHI grant resulting in declination of the grant in question.

・In case a KAKENHI recipient has failed to submit the "Report on the Research Achievements" that is due after the completion of the research period of his/her KAKENHI without any good reason, no new KAKENHI grant(s) will be delivered to him/her, even if the grant(s) have been provisionally adopted. Moreover, if a KAKENHI recipient has failed to submit the "Report on the Research Achievements" by the due date, then the delivery of KAKENHI grant(s) for that FY will be suspended.

1) Principal Investigator (Applicant)

(A)Principal Investigator is the main recipient of the grant who bears full responsibility for the implementation of the research project (including summarization of the research achievements). An individual who is anticipated to become unable to carry through the PI's responsibility over the entire research period due to, for example, loss of the KAKENHI eligibility caused by PI's own accord, should refrain from becoming a PI. (See Note below)

(Note)
The Principal Investigator is the researcher who plays the central role in the implementation of the research plan and thus bears a heavy responsibility. An individual who is anticipated to lose his/her eligibility for KAKENHI application during the research period due to his/her own accord so that is anticipated to be unable to carry through the responsibility, should refrain from becoming a Principal Investigator. (Substitutions of the PI of an on-going KAKENHI project are not permitted.)

(B)The Principal Investigator must be registered in the e-Rad system as "Eligible for KAKENHI Application". It is also required that he/she is *not* designated as "ineligible for grant receipt" in FY2020 (suspension of eligibility), as a penalty for such misconducts as improper grant spending, fraudulent grant acquisition or research misconduct associated with KAKENHI or any other competitive funding.

2) Research Collaborator

(A)Research Collaborator is an individual who cooperates in the implementation of a research project other than the Principal Investigator. Examples of this category include, a postdoctoral researcher, a research assistant (RA), a JSPS Research Fellow, **a researcher belonging to an overseas research institution**, a researcher belonging to a corporation not designated as a research institution according to Article 2 of the Rules for the Handling of Grants-in-Aid for Scientific Research, and an individual offering research support such as technician and

intellectual property specialist.

* JSPS Fellows (SPD, PD, RPD or CPD) who are *not* registered as eligible for KAKENHI application in their host her research institution, and JSPS fellows (DC)

(B)Registration as “Eligible for KAKENHI application” in the e-Rad system is *not* a requirement for becoming a Research Collaborator.

3. Requirements for the Appropriation of Research Expenditure

1) Expenditures that can be covered by direct expense

Expenditures necessary for the implementation of the research plan (including those necessary for summarization of the research achievements) can be covered by the direct expense. Under the grant “Fostering Joint International Research (A),” the expense items (i.e. equipment, consumables, travel, personnel/remuneration, miscellaneous) are divided among the categories “travel expenses and accommodation fees ,” (note) “research funding ,” and “cost of replacement staff.”

The purpose of Fostering Joint International Research (A) is to support research plans carried jointly by PIs with researchers at overseas universities and research institutions for a set period of time. This should be born in mind when calculating the costs necessary to implement the research plan. Expenses need to carry out related research activities in Japan may be included.

As, however, project funding is to be expended based on the rules of your affiliated research institutions, they should be consulted so as to follow their rules when calculating expenses. Particularly when deemed necessary in calculating travel expenses and accommodation fees and the cost of replacement staff, coordination should be carried out with the section in charge at your affiliated research institutions.

If any expenditure in the categories “Research Funding” and “Cost of Replacement Staff” exceeds 6-million yen or if any equipment will be purchased for the use in Japan, the necessity of such expenditure should be specified in the Research Proposal Document.

【Expenditures that can be covered by direct expense】

	Expenses for Goods (Equipment Costs/ Consumables Expenses)	Travel Expense	Personnel Cost/Honoraria	Miscellaneous Expenses
Travel Expenses and Accommodation Fees		○		○
Research Funding	○	○	○	○
Cost of Replacement Staff	○	○	○	○

* The cost of replacement staff needs to be entered in the grant application; however, a concrete plan is not required at the application stage.

(Note) “Cost of replacement staff” refers to mainly the cost of securing someone to substitute for the Principal Investigator at his/her research institution while s/he is overseas. (The cost comprises mainly personnel expenditure and remuneration.) 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 while at the overseas counterpart institution in the budget plan under “Expenses for Goods (Equipment Costs and Consumables Expenses).” The following are examples of allowable expenses.

- 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.

* If the Principal Investigator is carrying out or scheduled to carry out a project under a program funded or commissioned by the Japanese government or an independent administrative institution, “Cost of replacement staff” of the “Fostering Joint International Research” may not be used to cover the cost of replacement staff for those projects.

2) Differentiating root research projects

Expenses for projects under the grant “Fostering Joint International Research (A),” root research project, and other KAKENHI projects must be separately computed since they are different grant programs. Make sure just to compute the funding needed to carry out a research plan for a project under the this grant.

Direct funding under the grant “Fostering Joint International Research (A)” cannot be used to fund root research projects or other KAKENHI projects. This should be borne in mind particularly when computing the funding to be used in the Japan portion of Fund projects.

3) Expenditures that cannot be covered by KAKENHI

The following kinds of spending cannot be covered by KAKENHI:

A. Costs associated with buildings and other facilities (excluding expenditure for minor installations necessary for installation of research equipment purchased by the KAKENHI direct expense).

B. Expenditures for measures to deal with accidents or disasters that occurred during the implementation of funded project

C. Personnel cost/Honoraria for the Principal Investigator

D. Other expenditures that are apt to be covered by indirect expense*

* Indirect expense which amounts to 30% of the direct expense, is intended for use by the research institution in covering expenditures needed by the research institution for the management and other things associated with the implementation of the research project.

Indirect expense will be placed for all the research categories of FY2019 Call for Proposals. Applicant does not need to state the indirect expense in his/her Research Proposal Document.

4. Selection by the Applicant of a Desired Review Area in the Review Process

The applicant should select one of the 10 areas listed below, as the suggested review area for his/her research proposal.

	Comprehensive Fields	Humanities and Social Sciences	Science and Engineering	Biological Sciences
Areas for Review	①Informatics, ②Environmental Science	③Humanities, ④Social Sciences	⑤Mathematics/ Physics, ⑥Chemistry, ⑦Engineering	⑧Biological Science, ⑨Agricultural Science, ⑩Medicine, Dentistry, and Pharmacy

Note) Even if you have already chosen a research field or a review section for your root research project that is not included among the 10 above-listed areas, for the grant "Fostering Joint International Research (A)" please choose one area from among the 10 listed areas upon which to focus your grant application review.

5. When preparing a research proposal, it should be borne in mind that review is conducted based on the necessity and impact of the international joint research to be conducted under the proposed project. It is carried out from a multifaceted perspective, not only the field of specialization.

5. Completion of Research Ethics Education Course or Other etc.

Principal Investigators and Co-Investigators taking part in a research funded by the KAKENHI, are requested to have completed properly the following procedures including research ethics, by the time they submit the formal application for grant delivery of a newly adopted research project in the FY2020 Grants-in-Aid for Scientific Research, and upon the formal application for a grant delivery, it shall be confirmed through the electronic application system whether they will have taken the research ethics education coursework, etc.

If a PI completed the research ethics related procedures in the past, or has moved from the research institute at which he/she completed the procedure, he/she should check with the administrative section of his/her current institution for the validity of the procedure he/she conducted in the past.

- The PI must either read through and learn the teaching materials by oneself concerning the research ethics education coursework such as "For the Sound Development of Science – The Attitude of a Conscientious Scientist" published by the Editorial Committee of the JSPS named "For the Sound Development of Science, the "e-Learning Course on Research Ethics [eL CoRE] or "APRIN e-learning program (eAPRIN)", or attend a lecture on research ethics conducted by research institutes based on "Guidelines for Responding to Misconduct in Research (Adopted by the MEXT on August 26, 2014), by the time of the formal application for grant delivery.
- The PI must understand thoroughly and exercise the proper research practices in conducting their research, 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-" issued by the JSPS, by the time of the formal application for grant delivery.

6. Registration of the Researcher Information in Researchmap

The “Researchmap (https://researchmap.jp/)” is the Japan’s largest researcher information database as a general guide to Japanese researchers. The information on the research achievements registered in the Researchmap is ready to be openly available over the Internet and the database itself is linked to the e-Rad, other many university faculty databases and so on, and also the Japanese Government as a whole is going to further utilize the Researchmap.

Furthermore, since the posted information in the Researchmap and/or the database of the Grants-in-Aid for Scientific Research (KAKEN) is to be handled as a reference according to the necessity in the review of the KAKENHI, the registration of the researcher information into the Researchmap is encouraged. In addition, when doing so, make sure to register the “Researcher Number” because the posted information is to be searched with the “Researcher Number” when referring to the posted information in the Researchmap at the review.

< Inquiries >

National Institute of Advanced Industrial Science and Technology

Knowledge base information department service support center (in charge of Researchmap)

Web inquiry form: https://researchmap.jp/public/inquiry/

Telephone: 03-5214-8490

(Open hours: 9:30 - 12:00, 13:00 - 17:00)

7. Cooperation to Review

The Grants-in-Aid for Scientific Research-KAKENHI- adopts a peer review process in which the researchers selected from their own community engaged themselves in the assessment and reviewing of each research proposals on the basis of its scientific merit. The KAKENHI review is conducted every year thanks to the cooperation of more than 7,000 researchers as reviewers. The peer review forms the basis of the autonomy of academic community and plays an important role in ensuring quality of scientific research and its improvement. The review of applications is carried out with the constructive and mutually critical spirit of scientists and based on the purely academic value. It is no exaggeration to say that the KAKENHI review system is indispensable in supporting Japan’s scientific research into the future among other research funds. Therefore JSPS has registered the Principal Investigators’ information including their names and affiliated research institutions in the Reviewer Candidate Database (126,000 entries as of FY2019) and has utilized it so as to select the fair and excellent reviewers. The Principal Investigators are expected to further develop their own research through conducting the adopted research projects and to be a peer reviewer which is the credit and responsibility for the promotion of science. Furthermore the experience as a reviewer leads to further expand their academic perspective. When they are requested to be the reviewer by MEXT or JSPS, their positive cooperation is appreciated. JSPS requests updating the Principal Investigators’ data registered in the Reviewer Candidate Database

through their affiliated research institutes every year (usually in April) in order to keep them latest. Cooperation to the data update is also appreciated.

V. Instructions for Grant Recipients

1.Handling of Research Projects Selected in or before FY 2019

One researcher may receive only one grant under the Fund for the Promotion of Joint International Research (Fostering Joint International Research) and Fostering Joint International Research (A). Therefore, Principal Investigators who were selected for a project under the grant "Fostering Joint International Research" or "Fostering Joint International Research (A)" in or before FY 2019 and whose formal application for grant delivery was approved may not apply for another grant "Fostering Joint International Research (A)" under the Fund.

If a project has been selected for a grant "Fostering Joint International Research(A)" under the Fund in FY 2019 but its formal application for grant delivery has not yet been made, there is no need to resubmit the application documents in FY 2020.

2. Handling of Continued Research Projects Whose Principal Investigator Fails to Submit the Report on the Research Achievements of his/her Other KAKENHI Project

As is the case for new proposal submissions, no KAKENHI will be delivered to a researcher who fails to submit the Report on the Research Achievements at the end of the research period, without any justifiable reason. In such cases, a cancellation of the official grant decision and an order for refund of the grant may be issued. In addition, the information such as the name of the research institute of the said researcher may be made public.

Furthermore, if a researcher fails to submit the scheduled Report on the Research Achievements without any justifiable reason, then he/she may be ordered to suspend the spending of his/her other KAKENHI grant(s) for the same fiscal year.

3. Completion of Research Ethics Education Coursework etc.

Principal Investigators of projects selected in or before FY 2019 under the "Fostering Joint International Research" or "Fostering Joint International Research (A)" are not required to take the Ethics Education in Research Training Session (etc.) as they should have already taken it when carrying out the root research project.

4. About a case in which a Research Project that is to be continued in FY2020 (hereafter referred to as "continued research project") under Fund for the Promotion of Joint International Research (Fostering Joint International Research (B)) has already reached the original research goal.

If the PI of the continued project decides that his/her project proceeded beyond expectation and research goal has already been reached, and he/she intends to pursue a new research development by transferring to another research category, he/she may opt to apply for the Fostering Joint International Research (A) of a new KAKENHI grant, after submitting a "Notice of Completion of Research Project" and a "Statement of Reason" (refer to the supplementary edition "Forms/Procedures for Preparing and Entering a Research Proposal

Document”) by August 13, 2020 (Thursday). (Documents that arrive later will not be accepted.) Note that, if the content of the “Statement of Reason” is deemed inappropriate by the review panel, the new KAKENHI proposal is excluded from the review. Even in this case, the grant for the continued research project of which the PI has already filed the “Notice of Completion of Research Project” cannot be reclaimed after the successive fiscal year(s).

VI. Instructions & Procedures for Administrative Staff of Research Institution

1. Sharing the Purpose and Aim of the KAKENHI System

The KAKENHI provides a financial support for the creative and pioneering researches based on the original ideas of researchers. Review of the submitted research proposals is conducted by the peer review process, in which researchers selected from their own community engage themselves in the assessment and reviewing of each research proposals on the basis of its scientific merit. The KAKENHI review process is based on the cooperation of more than 7,000 reviewers every year.

While the KAKENHI review process has been continually improved by, for instance, the introduction of new review methods from the FY2018 grant, the growing needs of KAKENHI have resulted in the number of new applications exceeding one hundred thousand in recent years. The workload on the researchers who are cooperating as reviewers is getting heavier along with the increase in the applicant number. Pressing concern is that if the burden on the reviewers keeps increasing to be excessive, it may seriously affect the reviewers' own research and educational activities, and may also result in deterioration of the quality of the review process. One of the possible factors for the recent increase in the application number may be attributed to the fact that some of research institutions seem to set the KAKENHI application as one of their organizational activity indicators. Application for the KAKENHI grant per se should be made on the basis of the initiative of the researchers. Therefore, such action on the part of research institutions as to set quota to the constituent researchers is undesirable. All research institutions are requested to share and disseminate within themselves the primary purpose and aim of the KAKENHI system afresh.

2. Issues to Be Completed Beforehand by the "Research Institution"

(1) Requirements as a "Research Institution" and Procedures for Designation and Change

In order to apply for KAKENHI, a researcher needs to belong to a "Research Institution".

Concerning the "Research Institution" cited here, the following four types of "Research Institution" have been designated as eligible in Article 2 of the Rules for the Handling of Grants-in-Aid for Scientific Research (announced by the Ministry of Education, Culture, Sports, Science and Technology).

1) Universities and inter-university research institutions
2) MEXT facilities and other institutions engaged in scientific research
3) Technical colleges
4) Institutions designated by the MEXT (see Note as below)

Note:
In order to become research institution, institutions not falling under 1) to 3) first need to receive the designation by the MEXT. Therefore, institutions should consult with the Scientific Research Aid Division of the Research Promotion Bureau of the MEXT.

Moreover, if changes in one of the following items have been scheduled, institutions that have received the designation by the MEXT and already have been recognized as research institution should promptly report the content of these changes to the Scientific Research Aid Division of the Research Promotion Bureau of the MEXT.

A) Abolition or dissolution of the research institution
B) Name and address of the research institution, and name of the representative
C) Matters concerning laws, regulations, endowment acts and other rules that prescribe the purpose of establishment, the business content, and the internal organization of the research institution

Moreover, researchers who belong to such institutions should consider that, in order to conduct research activities using KAKENHI, the research institution should meet the requirements mentioned below.

Requirements

- The research institution must authorize the research project for which KAKENHI is granted, as its proper activity.
- The research institution must take responsibility for management and accounting of the KAKENHI delivered to its researcher staffs.

(2) Ascertainment of the Eligibility to Apply of the Affiliated Researcher

To apply for a grant under "Fostering Joint International Research (A)", a researcher must have the eligibility for KAKENHI application and meet the below application requirements for "Fostering Joint International Research (A)". The research institution is to confirm that the applicant satisfies these eligibility requirements.

Eligibility for KAKENHI application (See pages 27-28)

① At the time of the proposal submission, a researcher needs to have been approved by his/her research institution as an eligible researcher who meets the Requirements 1) , 2) and 3) stated below, and have his/her Researcher Information properly registered in the e-Rad system as eligible for KAKENHI application.

Requirements

1) The applicant must be an individual belonging to a research institution with job assignment including research activity within the said institution. (Whether the job is paid/unpaid, or full-time/part-time is irrelevant. It is not a prerequisite of eligibility that the research activity constitutes the main part of his/her job.)
2) The applicant must be actually engaged in research activity in his/her research institution. (Those who are only engaged in research assisting jobs are ineligible.)
3) The applicant must not be a graduate student or any other categories of student. (An individual who has a position in a research institution with research activity as his/her main job (e.g., university teaching staff, researcher belonging to a company, etc.), and holds a student status at the same time.)

② The individual must not be categorized as ineligible for grant acquisition in FY2020, as a penalty for his/her improper grant spending, fraudulent grant acquisition, or research misconduct.

Application Requirements for “Fostering Joint International Research (A)” (See page 28)

① The applicant must have been selected as of 1 April 2020. At the time of this grant application, s/he must be a Principal Investigator in that currently implemented for a Grant-in-Aid for Scientific Research (excluding “Overseas Scientific Investigation”) or a Grant-in-Aid for Early-Career Scientists(Grant-in-Aid for Young Scientists)
② The Applicant who is 45 years of age or under as of April 1, 2020 (she/he who was born after April 2, 1974.)

When applying, it should also be borne in mind that the applicant’s research institution will be committed to carrying out the following functions when it submits a formal application for grant delivery for the research project.

- Prepare a replacement environment to facilitate the subject researcher’s stay for a set period at an overseas research institution
- Administer the KAKENHI grant funds used by the subject researcher during his/her overseas stay
- Confirm that the subject researcher is not participating in or scheduled to receive a grant to participate in an overseas dispatch or overseas research activity over a long period of the “Postdoctoral Fellowships for Research Abroad,” or other Japanese government programs or independent administrative institution programs.

Since conducting international joint research with overseas joint researchers for a set period of time at overseas universities or research institutions is the premise for the program, the understanding and cooperation of research institutions such as the development of support system that can secure replacement staff and the flexible handling of research expenses used in overseas is essential to maximize its impact. We appreciate your understanding on the aim of the grant and ask for your continued generous support.

JSPS conducted a questionnaire survey for researchers who were selected and went abroad.
The documents distributed at the 3rd meeting of Subdivision on Grants-in-Aid for Research in the Subdivision on Science, the10th Council for Science and Technology are available at the following site for your reference.

https://www.mext.go.jp/content/20200528-mxt_gakjokik-000007580_01.pdf

(3) Confirmation of the Researcher Information Registered in the e-Rad System

Regarding the registration (update) of the researcher information necessary when applying, the administrative staff in the research institution to which the researcher belongs should perform the procedures using e-Rad. (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 the researcher list of the research institution, the applicant needs to register the correct information on the researcher list.)

For specifics on the method of registration, the research institution should verify the “Manual for Research Institutions to which the Researchers belong (for Research Institution Office

Representatives and for Research Institution Office Workers)".

Moreover, concerning the registration of the researcher information in e-Rad, there is no registration period (deadline). Therefore, registration is possible at any time.

However, since Research Proposal Document will not be accepted after the deadline for submission of Research Proposal Document, applicants should complete the registration (update) of the researcher information early, in order to have sufficient time to submit them.

In order not to negatively affect the compilation of the applications within the research institution, when completing the applications, the research institution should perform the various procedures (including the procedures within the research institution), positioning this specific procedure as one of the important procedures to be performed by the research institution.

Registered in the e-Rad system need updating, they should be duly completed.

(4) Confirmation of an ID and a Password for the Researcher Belonging to the Research Institution

In order to apply for KAKENHI, researchers should perform the procedures, by accessing the "Electronic Application System", he/she should retain the ID and the Password for e-Rad.

For this reason, the research institution should verify whether researchers who are scheduling to apply have an ID and a Password, or not.

Notes:

*1: When providing the login ID and password, research institutions must make it known to researchers that they must strictly protect the login ID and password in order to prevent them from being disclosed to others.

*2: Once the ID and the password for the researcher have been provided they can be used, even if the research institution changes.

*3: Please be sure to obtain and use the latest version of the Operation Manual.

(5) Submission of a "Self-Assessment Checklist on the Improvement of the System" based on the "Guidelines on the Management and Audit of Public Research Funds at Research Institutions (Implementation Standards)"

When implementing the adopted research projects with KAKENHI grant the research institutions must comply with the content of the "Guidelines on the Management and Audit of Public Research Funds at Research Institutions (Implementation Standards)" (Adopted by the Minister of MEXT. Revised on February 18, 2014.), they must set up a system of the management and audit for implementing the public research funds and report the state of implementation and other matters by submitting a "Self-Assessment Checklist on the Improvement of the System based on the Guidelines on the Management and Audit of Public Research Funds at Research Institutions (Implementation Standards)" (hereinafter referred to as "Self-Assessment Checklist on the Improvement of the System"). Therefore, "those research institutions which Principal Investigators applying for KAKENHI in FY2020 belong to" and "those research institutions

which Principal Investigators continuing research projects using KAKENHI are scheduled to belong to in FY2020" must submit in accordance with the procedure and forms posted on the MEXT website (URL: https://www.mext.go.jp/a_menu/kansa/houkoku/1324571.htm) the "Self-Assessment Checklist on the Improvement of the System" to the Office of Research Funding Administration, Promotion Policy Division, Research Promotion Bureau of the MEXT September 3, 2020 (Thursday) via e-Rad. If the "Self-Assessment Checklist on the Improvement of the System" has already been submitted in April 2019 or later, it is not necessary to submit it again. Regarding research institutions that did not submit a "Self-Assessment Checklist on the Improvement of the System" during FY2019, If they submit one on or after April 1, 2020, they should submit a "Checklist pertaining to the Current Status" for FY2020. Researchers affiliated to a research institution which has not turned in the said checklist cannot receive the official grant decision.

Note: When using e-Rad, ID and Password for the research institution are necessary

< Inquiries >

(Concerning forms of the guidelines and submission)

Office of Research Funding Administration, Promotion Policy Division, Research Promotion Bureau, the MEXT

e-mail: kenkyuhi@mext.go.jp

URL: https://www.mext.go.jp/a_menu/kansa/houkoku/1324571.htm

(Concerning the research institute e-Rad registration)

Helpdesk of the Cross-ministerial Research and Development management system of the MEXT

Telephone: 0570-066-877 (Navi Dial)

(Office hours: 9:00-18:00, except on Saturdays, Sundays, National Holidays and the New Year Holidays (from December 29 until January 3))

URL: https://www.e-rad.go.jp/organ/entry.html

(Time period when e-Rad is available for use)

(Monday to Sunday) 0:00 - 24:00 (in operation 24 hours a day, 365 days a year)

However, even during the above-mentioned time period, it may happen that the operation of e-Rad is disrupted or suspended, when maintenance and inspection is being carried out. If the operation is scheduled to be disrupted or suspended, this will be announced beforehand on the Portal Site.

(6) Submission of the "Checklist pertaining to the Current Status" based on "Guidelines for Responding to Research Misconduct"

When implementing the research projects with KAKENHI grant the research institutions must comply with the content of the "Guidelines for Responding to Research Misconduct" (Adopted by the Minister of MEXT on 26 August 2014) and submit a "Checklist Pertaining to the Current

Status based on the Guidelines for Responding to Research Misconduct" (hereinafter referred to as "Checklist on the Research Misconduct"). Therefore "those research institutions which the Principal Investigators and Co-investigators applying for KAKENHI in FY2020 belong to" and "those research institutions which Principal Investigators and Co-Investigators continuing research projects using KAKENHI are scheduled to belong to in FY2020" must submit in accordance with the procedure and forms posted on the MEXT website (URL:https://www.mext.go.jp/a_menu/jinzai/fusei/1415332_00001.htm) the "Checklist on the Research Misconduct" to the Office for Research Integrity Promotion, Human Resources Policy Division, Science and Technology Policy Bureau of the MEXT by September 3, 2020 (Thursday) via e-Rad. If the "Checklist on the Research Misconduct" has already been submitted in April 2019 or later it is not necessary to submit it again. Regarding research institutions that did not submit a "Checklist Pertaining to the Current Status based on the Guidelines for Responding to Research Misconduct" during FY2019, if they submit one on or after April 1, 2020, they should submit a "Checklist pertaining to the Current Status" for FY2020. Researchers affiliated to a research institution which has not turned in the said checklist cannot receive the official grant decision.

Note: Please note that while the "Checklist on the Research Misconduct" is the same in using e-Rad for submission with the "Self-Assessment Checklist on the Improvement of the System", the submission destination is different. Both checklists must be submitted.

Note: When using e-Rad, you need an ID and a Password for use of the research institution

< Inquiries >

(Concerning the format and submission of Guidelines on Fraudulent Acts)

* Differs from the contact information for public research expenses.

Office for Promotion of Correct Research, Knowledge Infrastructure Policy Division,
Science and Technology Policy Bureau, the MEXT
e-mail: kiban@mext.go.jp
URL: https://www.mext.go.jp/a_menu/jinzai/fusei/index.htm

(Concerning the research institute e-Rad registration)

The Helpdesk of the Cross-ministerial Research and Development management system of the MEXT
Telephone: 0570-066-877 (Navi Dial)
(Office hours: 9:00-18:00, except on Saturdays, Sundays, National Holidays and the New Year Holidays (from December 29 until January 3))
URL: https://www.e-rad.go.jp/organ/entry.html
(Time period when e-Rad is available for use)
(Monday to Sunday) 0:00 - 24:00 (in operation 24 hours a day, 365 days a year)

However, even during the above-mentioned time period, the operation of e-Rad may be disrupted or

suspended, when maintenance and inspection is being carried out. If the operation is scheduled to be disrupted or suspended, this will be announced beforehand on the Portal Site.

(7) Implementation of a Research Ethics Education Course based on the "Guidelines on Research Misconduct"

Principal Investigators and Co-Investigators taking part in a new research project have to complete followings before the formal application for grant delivery.

- Either to read through and learn teaching materials such as a textbook "For the Sound Development of Science -The Attitude of a Conscientious Scientist-" (Editing Committee "For the Sound Development of Science", JSPS), the "e-Learning Course on Research Ethics (eL CoRE)", the "APRIN e-learning program (eAPRIN)", etc., or to attend a lecture on research ethics conducted by research institutes based on the "Guidelines for Responding to Misconduct in Research (issued on August 26, 2014 by the MEXT)"
- To understand thoroughly and to exercise the proper research practices in conducting their research, 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-" issued by the JSPS

To that end, each research institution is requested to disseminate broadly what the researchers should consider, in conducting of their researches as well as carrying out an Ethics Education in Research Training Session based on the "Guidelines for Responding to Research Misconduct in Research"

(8) On the Submission of the Report on the Research Achievements

The research institution to which researchers belong has to collect and submit the report on the research achievements. If the research institution has failed, without good reason, to submit the report on the research achievements at the end of the research period, it may happen that it is treated as indicated below. Therefore, it is the responsibility of the representative of the research institution to ensure that the report on the research achievements is submitted without fail.

- No KAKENHI will be delivered to researchers who do not submit the report on the research achievements at the end of the research period, without good reason. Moreover, it may happen that the official grant decision to the researcher is cancelled, that an order to return the grant is issued, or that the information such as the name of the research institute said researcher belongs to is disclosed in public.

Furthermore, if researchers have failed to submit the scheduled report on the research achievements without justified reason, then execution of other KAKENHI implemented in the same fiscal year will be suspended.

(9) Obtaining Sufficient Knowledge about the Contents of the Application Procedures

The research institution should beforehand disseminate the contents of the Application Procedures to all the researchers on the campus. JSPS would especially like to request the dispersion of information on the items listed in the Application Procedures and the submission deadlines of Research Proposal Document, in order to avoid potential misunderstandings.

Moreover, the Application Procedures are available on the section Grants-in-Aid for Scientific Research of the JSPS website.

URL: https://www.jsps.go.jp/j-grantsinaid/index.html

3. Issues that Need to Be Verified When Compiling the Application Forms (Preparing the Research Proposal Document)

The contents of the Research Proposal Document should be verified in each research institution, and all the Research Proposal Document should be submitted to JSPS together. When doing so, special attention should be paid to the following points.

(1) Ascertainment of the Eligibility for KAKENHI Application

It should be verified whether the Principal Investigator listed in the Research Proposal Document is researcher who meet the requirements that are stipulated in the Application Procedures (see pages 27-28), and also whether the researcher information is registered in e-Rad as "Eligible to Apply for KAKENHI".

Moreover, it should be verified certainly that they must not be categorized as ineligible for grant acquisition in FY2020 in KAKENHI and other competitive funding, as a penalty for their improper grant spending, fraudulent grant acquisition, or research misconduct.

(2) Confirmation of the Researcher Information Registered in the e-Rad System

Regarding the registration (update) of the researcher information necessary when applying, the administrative staff in the research institution to which the researcher belongs should perform the procedures using e-Rad.

Moreover, if there is any item such as the institution, the position, or others that needs to be corrected, the applicant needs to correct information on the researcher list even though applicant has already been included in the researcher list of the research institution.

(3) Verification of the Principal Investigator

The research institution should verify whether the Principal Investigator who has been listed in the Research Proposal Document prepared the Research Proposal Document, after verifying the column "III. Call for Proposals" in this Application Procedures for Grants-in-Aid for Scientific Research.

(4) Verification of the Application Forms

It should be verified whether the application format is in conformity with the prescribed format.

As for the forms to be uploaded, in particular, verify not only the total number of pages but also the numbers of pages instructed for each column is met. For example neither following case 1 in which the total number of pages is different nor following case 2 in which the total number of pages is same but the numbers of pages instructed for each column are different are inconformity with prescribed format.

Unit:page(s)

	Number of page(s) of each column					Total Number of Pages
	Significance and Necessity of the Joint International Research	Research Objectives, Research Method of the Joint International Research, etc.	Role of Overseas Joint Researchers and the State of Preparation	Applicant's Ability to Conduct the Research and the Research Environment	Issues Relevant to Human Right Protection and Legal Compliance	
Correct Number of Pages	**3**	**3**	**2**	**2**	**1**	**1 1**
Incorrect Number of Case 1	3	2	2	2	1	1 0
Incorrect Number of Case 2	2	3	3	2	1	1 1

Moreover, the format and other matters of the application forms are as follows.

Research category Application Section	Research Proposal Document		
	Items to be entered in the Website (First part)	Forms to be uploaded as an attached file (File ID)	Items to be entered in the Website (Second part)
Fostering Joint International Research (A)	To be entered in the electronic application system (Title of research project, Fundamental data on the research project such as total budget, Data on the project members, etc.)	S-61	To be entered in the electronic application system (Research Expenditure and Description of Each Expenditure Categories, The Status of Application and Acquisition of Research Grants, etc.)

4. Submission and Other Matters of the Research Proposal Document (Preparing the Research Proposal Document)

(1)The research institution should access the “Electronic Application System”, using the ID and the password for e-Rad, obtain the information of the Research Proposal Document (PDF files) that the Principal Investigators prepared, and verify their contents and other matters.

(2) The research institution should perform the “approval” process on all the Research Proposal Document (PDF files) that has no mistakes in their contents. (Completed to submit the Research Proposal Document (PDF files) to JSPS.) Moreover, it is not possible to make corrections or other modifications to the Research Proposal Document (PDF file) for which the research institution has already performed the “approval” process.

The deadline for the submission of the Research Proposal Document is:

September 3, 2020(Thursday), 4:30 pm (This deadline should be strictly observed.)

Note 1: Research Proposal Document that is submitted after this deadline will not be accepted for any reason. Therefore, the documents should be submitted well in advance.

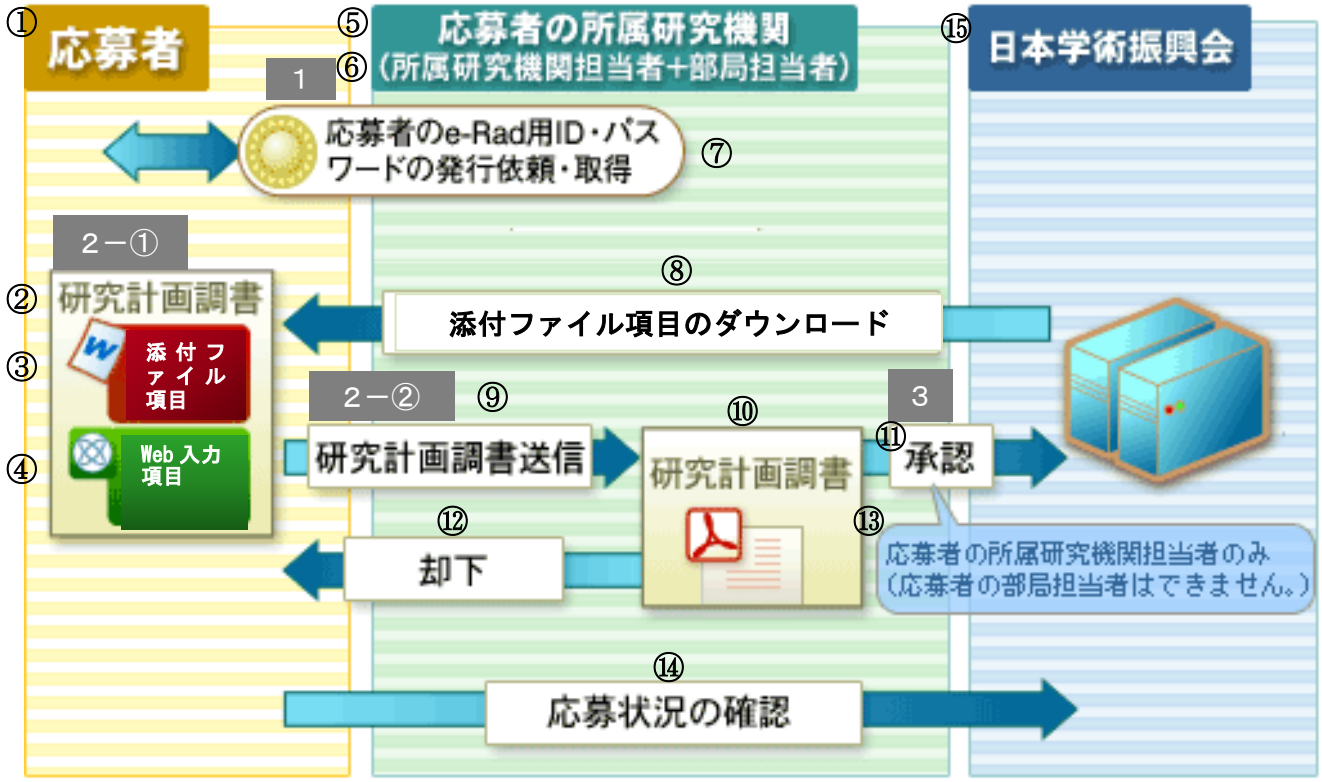
Note 2: After the submission of the application documents, it is not possible to make corrections or to re-submit them.

(3) The ID and the password which are used in the e-Rad are designed to verify the individual. Therefore, the handling and administration of them should be done carefully when carrying out the application procedures.

Moreover, an outline of the procedures for electronic application can be found below. However, for details on the operating environment, procedure, etc. of the “Electronic Application System”, please refer to the “Operation Manual” as shown below.

URL: https://www-shinsei.jsps.go.jp/kaken/topkakenhi/shinsei_ka.html

Outline of the Electronic Application Procedures



① Applicant
② Research Proposal Document
③ Forms to be uploaded as an attached file
④ Items to be entered in the website
⑤ The research institution to which the applicant belongs
⑥ Administrative staff in the research institution + Administrative staff in the department
⑦ Request for issue and acquisition of the applicant's ID and password for e-Rad
⑧ Downloading of the forms to be uploaded as an attached file
⑨ Sending the Research Proposal Document
⑩ Research Proposal Document
⑪ Approval
⑫ Rejection
⑬ Only the administrative staff in the research institution to which the applicant belongs (The administrative staff in the department of the applicant cannot make an approval.)
⑭ Confirmation of the state of the application
⑮ JSPS

[The administrative staff in the research institution to which the applicant (Principal Investigator) belongs]

1 The research institution is to verify the applicant's e-Rad registered information.

[The applicant (Principal Investigator)]

2-(1) The applicant accesses the "Electronic Application System", using the ID and the password, and prepares the Research Proposal Document (PDF file), by entering the items to be entered in the website and by uploading the forms to be uploaded as an attached file.

2-(2) If there are no mistakes in the Proposal for Grant-in-Aid (PDF file) the applicant prepared, he or she should submit (send) the Proposal for Grant-in-Aid (PDF file) to the person in charge of the research institution to which he or she belongs, by performing the "completed and submission" process.

[The administrative staff in the research institution to which the applicant (Principal Investigator) belongs]

3 By approving the Research Proposal Document (PDF file) the administrative staff in the research institution to which the applicant belongs submits (sends) it to JSPS.

Moreover, if the Research Proposal Document (PDF file) that the applicant submitted is not approved due to mistakes or other reasons, it will be rejected and the applicant will be requested to make corrections.

VII. Other Relevant Issues

1. Concerning Support through Grant-in-Aid for Scientific Research on Innovative Areas - Platforms for Advanced Technologies and Research Resources

In order to respond effectively to the diverse needs of researchers of KAKENHI research projects, the Grant-in-Aid for Scientific Research on Innovative Areas―Platforms for Advanced Technologies and Research Resources forms a resource and technical support platform for research (hereinafter referred to as Platform) under the close cooperation of relevant institutes with inter-university research institutes and Joint Usage / Research Centers as core institutes. Together with providing technical support towards individual research projects and providing advanced problem solving methods to researchers, it provides an integral promotion of cooperation between researchers, interdisciplinary integration, and human resources development.
Applications for technical support etc. are open for each of the platforms below where it concerns research projects carried out through KAKENHI. Researchers desiring technical support etc. from each of the platforms are requested to check their respective websites etc. and actively apply.

* "Technical Support etc." points to the sharing of equipment with researchers from a wide range of research fields, technical support and the collecting, conservation, and providing of resources (documents, data, experiment samples, specimen, etc.), and support for conservation techniques etc.

"Advanced Technology Support Platform Program" has scientific value and an advanced nature through the combination of multiple facilities and equipment, and provides shared use of equipment and technical support to researchers in a wide variety of research areas.

"Research Platform Resource Support Program" Collects, conserves, and supplies the resources that are the basis of research (documents, data, experiment samples, specimen, etc.) and also conducts support for conservation techniques etc.

Area	Platform Name	Core Institution	Support Function
Advanced Technology Support Platform Program	Platform of Advanced Bioimaging Support (*)	National Institute for Physiological Sciences National Institute for Basic Biology	Advanced technical support and user training for : ・ Light microscopy ・ Electron microscopy ・ Magnetic resonance imaging ・ Imaging analysis
	Platform of Advanced Animal Model Support(*)	The Institute of Medical Science The University of Tokyo	Support for constructing animal models, Support for pathological analysis, Support for physiological analysis, and Support for molecular profiling

	Platform for Advanced Genome Science (*)	National Institute of Genetics	Advanced genome analysis (de novo genome sequencing; re-sequencing for genome variation detection; analysis of transcriptome, epigenome and metagenome; ultra-high sensitivity analysis for single cells, single molecules, etc.; big-data analysis and advanced bioinformatics; by using of the latest facilities and technologies)
Area	Platform Name	Core Institution	Support Function
Research Platform Resource Support Program	Platform for Integration and Sophistication of Image Information on Area Studies	National Museum of Ethnology	Digital Picture Library for Area Studies
	Supply Platform of Short-lived Radioisotopes for Fundamental Research	Research Center for Nuclear Physics, Osaka University	Supply short-lived radioisotopes produced by accelerators for fundamental research in various scientific fields.
	Platform of Supporting Cohort Study and Biospecimen Analysis (*)	The Institute of Medical Science The University of Tokyo	Support for cohort study using bioresources, Support for maintaining and utilizing human brain resources, and Support using biospecimen

Also, Committee on Promoting Collaboration in Life Sciences that functions as a general information point and coordinator across the 4 platforms marked with an (*) above is set up. (Core Institution: The Institute of Medical Science, The University of Tokyo)

Each platform's website can be found in the link collection below:
URL：https://www.mext.go.jp/a_menu/shinkou/hojyo/1367903.htm

2. Concerning the Promotion of the Shared Use of Research Equipment

In "Reform of Competitive Research Funds: Towards a Sustained Output of Research Achievements (Interim Summary)" (June 24, 2015, Competitive Research Fund Reform Review meeting) it was decided that, when the original research objectives were fully achieved, versatile and large equipment should, in principle, be shared.
Furthermore, in "On the Management of Research Organizations and the Introduction of a New, Unified System for the Shared Use of Research Equipment" (November, 2015, Science and Technology Council Advanced Research Foundation Subcommittee), the establishment and operation of a "research equipment sharing system on the research organization level" (hereinafter referred to as equipment sharing system) is demanded of universities and national research and development agencies etc.
With this in mind, when purchasing equipment with competitive research funds, please actively work on the use of equipment purchased with other research funds, and the purchase and shared use of equipment from several research funds where it concerns especially large and versatile equipment. Please also make ensure that sharing is possible within the rules of the said competitive research funds, and no obstacle is made to the execution of the research project.

○"On the Management of Research Organizations and the Introduction of a New, Unified System for the Shared Use of Research Equipment"

(November 25, 2015 Science and Technology Council Advanced Research Foundation Subcommittee)
URL: https://www.mext.go.jp/b_menu/shingi/gijyutu/gijyutu17/houkoku/1366220.htm

○ "A Reform of Competitive Research Funds: Towards a Sustained Output of Research Achievements (Interim Summary)"
(June 24, 2015 Competitive Research Fund Reform Review meeting)
URL: https://www.mext.go.jp/b_menu/shingi/chousa/shinkou/039/gaiyou/1359306.htm

○On the unification of usage rules for competitive funds
(March 31, 2015 agreement of the related ministries liaison conference on competitive funds)
URL: https://www8.cao.go.jp/cstp/compefund/siyouruuru.pdf

3. On the Promotion of the 'Dialogue on Science and Technology with Citizens' (A Basic Approach Policy)

In "*On the Promotion of the 'Dialogue on Science and Technology with Citizens' (A Basic Course of Action)*" (June 19, 2010, the Minister of State for Science and Technology Policy and the Experts of the Council for Science and Technology Policy) which has been compiled in June 2010, the activity in which researchers explain the content and achievements of their research activities to society and citizens in an easy-to-understand form is placed in the above-mentioned 'Dialogue on Science and Technology with Citizens'. Researchers and other researchers who have received an allotment of public research funds amounting more than 30 million yen per year per case are requested to positively work on the 'Dialogue on Science and Technology with Citizens'. Universities and other research institutions are also requested to make positive efforts in order to ensure the proper implementation of the Dialogue on Science and Technology between Citizens, on the one hand, and researchers and other researchers who have received public research funds, on the other hand, for example, by setting up support systems.

For KAKENHI, there is the question "Are you positively trying to publicize and disseminate the research content and research achievements?", especially in the research progress assessment of Specially Promoted Research, for which researchers receive a relatively high amount of research funds, and the interim assessment as well as the final evaluation of Scientific Research on Innovative Areas (Research in a proposed research area). Therefore, based on the above-mentioned Basic Approach Policy, researchers should disseminate the achievements of research funded with KAKENHI to society and citizens in an even more positive way.

4. Cooperation with the National Bioscience Database Center

The National Bioscience Database Center (https://biosciencedbc.jp/) has been established in the Japan Science and Technology Agency (JST, a National Research and Development Agency), in order to promote the integrated use of databases in the area of life science that have been created by various research institutions and other institutions.

This Center spurs the active participation of related institutions, and based on four pillars, namely (1) the planning of strategies, (2) creation and operation of portal websites, (3) research on and development of core technology for the integration of databases and (4) the promotion of the integration of biotechnology-related databases, it is promoting projects aiming at the integration of databases in the area of life science. In this way, through wide sharing and utilization in the researchers community of the research achievements in the area of life science produced in Japan, the Center aims at invigorating overall research in the area of life science, including research and development connected to basic research and industrial applied research.

JSPS would like to request researchers to cooperate by providing to the Center copies of raw data related to achievements published in research papers and other output in the area of life science, or copies of created open databases.
Moreover, the copies provided will be able to be utilized on a non-exclusive basis as reproductions, alterations, or in other necessary forms. Furthermore, JSPS would like researchers to understand in advance that, in response to requests of the institutions that received copies, it would also like request researchers to cooperate by providing all the information necessary for utilizing the copies.
Furthermore, the National Bioscience Database Center has developed guidelines for data on humans, in order to promote the sharing and use of data related to research in the area of life science, with due considerations to the protection of personal information.

NBDC human data sharing guidelines
URL: https://humandbs.biosciencedbc.jp/guidelines/

< Inquiries >
Japan Science and Technology Agency, National Bioscience Database Center
Telephone: 03-5214-8491

5. On the Inter-University Bio-Backup Project

The purpose of the Inter-University Bio-Backup Project is to “back up” biological genetic resources, which are indispensable research resources in various research areas, and to avoid damage or loss of biological genetic resources due to unforeseen accidents, disasters, etc. The project newly commenced from 2012.
In the National Institute for Basic Biology of the Inter-University Research Institute Corporation National Institutes of Natural Sciences, which is the core of this project, the IBBP Center (Inter-University Bio-Backup Project for Basic Biology) (http://www.nibb.ac.jp/ibbp/) has been established as a backup center for biological genetic resources. It is equipped with the newest equipment necessary for the backup of biological genetic resources.
Any researcher who belongs to a university or a research institution may apply for storage. Biological genetic resources that can be stored in IBBP are samples that can be proliferated

(amplified) or cryopreserved (for vegetable seeds, the refrigeration or deep-freezing preservation condition needs to be definite), and being not pathogenic is also a condition. Since backup is provided free of charge, researchers should make use of IBBP.

Any researcher who belongs to a university or a research institution may apply for storage. Biological genetic resources that can be stored in IBBP are samples that can be proliferated (amplified) or cryopreserved (for vegetable seeds, the refrigeration or deep-freezing preservation condition needs to be definite), and being not pathogenic is also a condition. Since backup is provided free of charge, researchers should make use of IBBP.

< Inquiries >

Inter-University Research Institute Corporation National Institutes of Natural Sciences, IBBP Center, Executive Office

Telephone: 0564-59-5930, 5931

6. National BioResource Project

NBRP (National BioResource Project) strategically collects and preserves important bioresources that are the basic and foundation of life science research at the core bases of this project and provides them to universities and research institutes, thereby contributing to the development of life science research in Japan. In the future, in order to contribute to the development of life science research in Japan, it is necessary to continually collect useful bioresources.

For that matter, please deposit (*) available bioresources among bioresources developed by Grant-in-Aid for Scientific Research (limited to the bioresource targeted for NBRP). Please cooperate with the NBRP collecting activities.

(*) Deposit: This is a procedure to approve the use (preservation / provision) in this project without transferring the various rights related to the resource. By specifying specific provision conditions in the deposit agreement, you can add usage conditions such as restrictions on usage and quotation of articles to users.

List of NBRP core bases representative agencies

URL: https://nbrp.jp/center/center.jsp

< Inquiries >

Bio-Bank Division, Japan Medical Research and Development Organization Basic Research Division

Telephone: 03-6870-2228

7. Security Export Control Policy

In Japan, export controls (*) are carried out under the Foreign Exchange and Foreign Trade Act (Act No. 228 of 1949) (hereinafter referred to as “Foreign Exchange Law”). Therefore, in principle, in order to export (provide) cargo and technology regulated by the Foreign Exchange Law, it is necessary to obtain permission of the Minister of Economy, Trade and Industry.

(*) Japan's Security Export Control System established on the basis of international agreements mainly consists of ① “List rules” which require permission of the Minister of Economy, Trade and Industry in principle when exporting cargo or providing technology that carry specifications and/or functions higher than certain levels, such as carbon fiber and numerically controlled machine tool etc., and ② “Catch-all regulation” which requires permission of the Minister of Economy, Trade and Industry when exporting cargo or providing technology that are not subject to regulation under the List rules but do fall under certain regulatory requirements (application requirements, consumer requirements and/or informed requirements).

Not only export of cargo but also provision of technology will be subject to the regulation by the Foreign Exchange Law. When providing a “List rules” technology to nonresidents or providing it in a foreign country, prior permission for provision is required. ”Provision of technology” includes not only providing technical information such as design drawings, specifications, manuals, samples, and prototypes via storage media such as paper, mail, CD, USB memory, but also providing work knowledge and technical assistance at seminars through technical instruction, skill training etc. Researchers should be aware that there may be case in which technologies subject to regulation by the Foreign Exchange Law are involved when mentoring foreign students and/or joint research activities with oversea groups.

For this reason, research institutions are asked to take systematic measures to ensure that in implementation their various research activities, including research projects funded with KAKENHI, WMD technologies are not transferred to WMD developers, terrorist organizations, or people carrying out other dubious activities by way of their participation in research that can be converted to military purposes.

< Reference > Stature to strengthen the export control system in universities and public research institutions (proposed)
http://www.mext.go.jp/b_menu/shingi/gijyutu/gijyutu8/toushin/06082811/015/001.htm

As for the details on “Security Export Control Policy”, please see as below.
Ministry of Economy, Trade and Industry: Security Trade Control (General) Division
URL: https://www.meti.go.jp/policy/anpo/

< Inquiries >
Ministry of Economy, Trade and Industry, Trade and Economic Cooperation Bureau, Trade

Management Department, Security Trade Control Division
Telephone: 03-3501-2800FAX: 03-3501-0996

(Reference 1) Review Panels and Other Matters

1. Concerning KAKENHI Review

Omitted

2. Review Methods, and Other Matters

The review of grant applications for the grant “Fostering Joint International Research (A)” is carried out by the Scientific Research Grant Committee of the Japan Society for the Promotion of Science (JSPS) based on the documents (research plan) submitted by the applicant. The review takes place behind closed doors. The submitted Research Proposal Document is not returned to the applicants.

The “details on assessment rules”(Rules concerning the review and assessment for the Grants-in-Aid for Scientific Research) , called “review and assessment rules ” below)) can be checked on the JSPS website:
(https://www.jsps.go.jp/j-grantsinaid/index.html).
(The review and assessment rules for the Fund for the Promotion of Joint International Research (Fostering Joint International Research (A) for FY 2020 will be posted on the JSPS website around late August)

* In the review process, the reviewers can utilize, as necessary, the “Researchmap” and the database of Grants-in-Aid for Scientific Research (KAKEN).

3. Notification of the Review Results

1) JSPS will issue a notification in writing to the research institution on whether the research project has been adopted or not, based on the results of the review. (Notification of the review results is scheduled to be issued at the middle of February. However, the timetable may be delayed due to the application volume.)
2) To Principal Investigators whose proposal have not been adopted and who wish to request for disclosure, JSPS will disclose the approximate ranking per the desired review area via the electronic application system.(around late February)

(Reference 2) Procedures on the Handling of Grants-in-Aid for Scientific Research (Omitted)

(Reference 3) Procedures on the Handling of JSPS Grants-in-Aid for Scientific Research(KAKENHI (Multi-year Fund)) (Omitted)

Inquiries

1. Inquiries about the invitation of applications should be directed to the following divisions through the research institution.

(1) For inquiries concerning the invitation of applications:

Research Aid Planning Division, Research Program Department, Japan Society for the Promotion of Science

Telephone: 03-3263-4927

FAX: 03-3263-9005

* Available every day except on Saturdays, Sundays, National Holidays, the New Year Holidays (from December 29 until January 3), and the Anniversary of the Foundation of JSPS (September 21).

(2) For inquiries concerning the use of the KAKENHI electronic application system:

Call center:

Telephone: 0120-556-739 (toll-free)

* Available from 9:30 to 17:30 every day except Saturdays, Sundays, National Holidays and the New Year Holidays (from December 29 until January 3)

The following phone numbers are also available:

Institutional Research and Information Division, Policy Planning Department,

Japan Society for the Promotion of Science

Telephone: 03-3263-1017, 1022, 1107, 1024

(3) For inquiries concerning the use of the Cross-ministerial Research and Development management system (e-Rad):

e-Rad help desk:

Telephone: 0570-066-877 (navigation dial)

* Available from 9:00 to 18:00 except on Saturdays, Sundays, National Holidays and the New Year Holidays (from December 29 until January 3)

* The following phone numbers are also available: 03-6631-0622

< Important points >

① How to operate e-Rad
Manuals on how to operate e-Rad can be referred or downloaded from the portal site (URL: https://www.e-rad.go.jp). Please agree to the terms of service and apply.

② Time period when e-Rad is available
(Monday to Sunday) 00:00 - 24:00 (in operation 24 hours a day, 365 days a year)
However even during the above-mentioned time period, the operation of e-Rad may be disrupted or suspended, when maintenance and inspection is being carried out. If the operation is scheduled to be disrupted or suspended, this will be announced beforehand on the portal site.

(4) For matters related to the "Self-Assessment Checklist on the Improvement of the System and Other Matters", based on the "Guidelines on the Management and Audit of Public Research Funds at Research Institutions (Implementation Standards)":

Office of Research Funding Administration, Promotion Policy Division, Research Promotion Bureau, the MEXT

Telephone: 03-6734-4111

(5) For matters related to Submission of the "Checklist pertaining to the Current Status" based on "Guidelines for Responding to Misconduct in Research":

Office for Promotion of Correct Research, Knowledge Infrastructure Policy Division, Science and Technology Policy Bureau, the MEXT

Telephone: 03-5253-4111

(6) For matters related to "the National Bioscience Database":

National Bioscience Database Center, Japan Science and Technology Agency (JST)

Telephone: 03-5214-8491

(7) For matters related to the "Inter-University Bio-Backup Project":

Inter-University Research Institute Corporation National Institutes of Natural Sciences, IBBP Center, Executive Office

Telephone: 0564-59-5930, 5931

(8) For matters related to the "National BioResource Project":

Bio-Bank Division, Japan Medical Research and Development Organization Basic Research Division

Telephone: 03-6870-2228

(9) For matters related to the "Researchmap":

National Institute of Advanced Industrial Science and Technology

Knowledge base information department service support center (in charge of Researchmap)

Web inquiry form：https://researchmap.jp/public/inquiry/

Telephone: 03-5214-8490

(Open hours: 9:30 - 12:00, 13:00 - 17:00)

(10) For matters related to the "Security Export Control Policy":

Ministry of Economy, Trade and Industry, Trade and Economic Cooperation Bureau, Trade Management Department, Security Trade Control Division

Telephone: 03-3501-2800

FAX: 03-3501-0996

2. The Application Procedures can be viewed on the JSPS website.
Application forms can be downloaded from the following website.

JSPS's website on Grants-in-Aid for Scientific Research

URL：https://www.jsps.go.jp/j-grantsinaid/index.html [Japanese]

URL：https://www.jsps.go.jp/english/e-grants/index.html [English]