Handbook on the Grants-in-Aid for Scientific Research (KAKENHI) Program

How to Make More Effective Use of the Program
(For Researchers)
FY2017 Edition

Research Promotion Bureau, Ministry of Education, Culture, Sports, Science and Technology (MEXT)
Japan Society for the Promotion of Science (JSPS)

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Foreword

This Handbook is intended mainly for researchers who are conducting research with financial assistance from the Grants-in-Aid for Scientific Research (KAKENHI) program or intend to apply for a research grant under the program. The basics of the program are outlined here in an accessible format.

Be sure to read through this Handbook in order to further your understanding of the program and to make more effective use of the funds provided under the framework of this program.

KAKENHI are funded by the tax of citizens and other public sources. Those conducting research under this program are expected to observe the rules established by the Ministry of Education, Culture, Sports, Science and Technology (MEXT) and the Japan Society for the Promotion of Science (JSPS), as well as rules prescribed by each research institution, and to make appropriate and efficient use of the funds.
Contents

【Preface】
1. What Is the Grants-in-Aid for Scientific Research (KAKENHI) Program? ................................................. 1
2. What are the KAKENHI rules? ................................ 4

【When applying】
5. What Issues Need to Be Considered When Applying? ................................................................. 9

【When conducting research with KAKENHI】
7. When Do the Funds Become Available for Use? 13
8. What Is Management by Institutions? ................. 15
9. What Do Direct Costs Cover? .............................. 16
10. What Are Indirect Costs? ..................................... 19
13. Using “the Multi-year Fund”? .......................... 24
14. What Assessment is performed during the Research Period? ..................................................... 26
15. How Are the Research Performance and Achievements Disseminated? .........................27
16. What happens if the rules are not followed? ....32
17. Protection of human rights and compliance with laws and regulations..............................35

【KAKENHI Reform】
18. Trend on KAKENHI Reform .................................37
1. What Is the Grants-in-Aid for Scientific Research (KAKENHI) Program?

The KAKENHI program is the only competitive funding program aimed at all scientific research (i.e. research based on the free ideas of researchers in universities and other research institutions), from basic to applied research in all fields, covering the humanities, the social sciences and the natural sciences.

< The position of “KAKENHI” in the policy on the promotion of science, technology, and scientific research in Japan >
### Research Categories

Various research categories have been established based on the content and the scale of the research.

As of April, 2017

<table>
<thead>
<tr>
<th>Research categories, etc.</th>
<th>Purposes and description of the research category</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Grants-in-Aid for Scientific Research</strong></td>
<td></td>
</tr>
<tr>
<td>Specially Promoted Research</td>
<td>Highly regarded research in the international arena that is likely to yield highly acclaimed research achievements and is done by one researcher or by a relatively small group of researchers. (The period is three to five years. As a general indicator, the upper limit of the total budget provided is set around 500 million yen per research project. However, no upper and lower limits have been established.)</td>
</tr>
<tr>
<td>Scientific Research on Innovative Areas</td>
<td>(Research in a proposed research area) New research areas that will lead to the upgrading and enhancement of scientific research in Japan. The new research areas are proposed by a diverse group of researchers, and will develop through the effort to cultivate collective research, research personnel, common use of equipment etc. (The period is five years. In principle, the budget is set at around 10 million to 300 million yen per fiscal year per field.)</td>
</tr>
<tr>
<td>Scientific Research</td>
<td>(S) Creative/pioneering research done by one researcher or a relatively small group of researchers (The period is five years. The budget ranges from 50 million yen to around 200 million yen per project.) (A)(B)(C) Creative/pioneering research done by one researcher or jointly by multiple researchers. (The period is three to five years. Classified in A, B or C, depending on the total budget provided.)</td>
</tr>
<tr>
<td>Challenging Exploratory Research</td>
<td>Early-stage research that has a research plan organized by one or multiple researchers that is based on a unique concept, that is challenging, and that sets a high goal (The period is one to three years. The budget is up to 5 million yen per project.)</td>
</tr>
<tr>
<td>Challenging Research (Pioneering/Exploratory)</td>
<td>(Pioneering) (Exploratory) Research conducted by one or more researchers, that has the aim of significantly reforming or changing the scientific system or direction and has rapid growth potential. Further, (Exploratory) covers research projects that have a strong exploratory nature, or are in their beginning stages. (Pioneering) 3-6 years from 5 million to 20 million yen (Exploratory) 2-3 years 5 million or less 5 million yen</td>
</tr>
<tr>
<td>Program Type</td>
<td>Description</td>
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</table>
| **Young Scientists**                 | (A)(B) Research done by one researcher aged 39 or less  
(The period is two to four years. Classified in A or B, depending on the total budget provided.)  
(A) from 5 million yen to 30 million yen  
(B) 5 million yen or less |
| **Research Activity**                | Research done by one researcher, who has just been employed by the research institution, by one researcher who returns from childcare leave or other kinds of leave, or other researchers.  
(The period is up to two years. The budget is up to 1.5 million per fiscal year.) |
| **Encouragement of Scientists**      | Research done by one person who is an employee of an educational/research institution, a company employee, or others  
(The period is up to one year. The budget is above 100,000 and up to 1 million yen per project.) |
| **Grant-in-Aid for Special Purposes**| Funding of urgent and important research projects.                                                                                                                                                   |
| **Grant-in-Aid for Publication of Scientific Research Results** |  
**Publication of Research Results** | Funding for publication or international dissemination of research achievements of a scientific society with high academic value |
| **Enhancement of International Dissemination of Information** | Funding of an effort to further enhance international dissemination of information, in order for academic societies, such as scientific associations, to contribute to international academic exchange |
| **Scientific Literature**            | Funding of Scientific Literature issued by an individual or a group of researchers to disclose scientific research achievements |
| **Databases**                        | Funding of databases created by an individual or a group of researchers for public availability |
| **Grant-in-Aid for JSPS Fellows**    | Funding of research done by JSPS Fellows, including Foreign JSPS Fellows (for a period of up to three years) |
| **Fund for the Promotion of Joint International Research** |  
**Fostering Joint International Research** | For Joint International Research that a researcher selected by KAKENHI performs at a foreign university or research facility, covering a period from about 6 months to one year (up to 12 million yen) |
| **International Group**             | Support for International Activities within Scientific Research on Innovative Areas (Set period of the Area, up to 15 million yen per year) |
| **Returning Researcher Development Research** | Research that is expected to take place when Japanese researchers who are currently residing abroad, return to Japan (period up to 3 years, up to 50 million yen) |
| **Generative Research Field**       | Based on the latest academic trends, Generative Research Fields are established in Scientific Research (B/C). (The research period that can be applied for differs depending on the year of application.) |

* No new invitation for applications is conducted for "Challenging Exploratory Research"
2. What are the KAKENHI rules?

There are three types of rules: application rules, assessment rules, and utilization rules. Please make sure to adhere to these rules.

○ Application rules: eligibility and rules concerning the applications
  (Contents of the “Procedures on the call for proposals”)

○ Assessment rules: rules concerning the preliminary assessment (review), the interim assessment, the ex-post assessment, and the research progress assessment
  (Contents of the “Rules concerning the review and assessment for Grants-in-Aid for Scientific Research”, etc.)

○ Utilization rules: rules concerning the use of KAKENHI
  (Contents of the “Supplementary conditions” and “Funding conditions” when funding is decided)

- KAKENHI has categories funded by “Series of Single-year Grants” and categories funded by “the Multi-year Fund”. Usage rules can differ, so please make sure to thoroughly check the “Supplementary Conditions” (Series of Single-year Grants categories) and “Funding Conditions” (the Multi-year Fund) for the applicable rules

- See the KAKENHI website for the application rules, assessment rules and utilization rules, and KAKENHI FAQ about the program.
  Ministry of Education, Culture, Sports, Science and Technology (MEXT):
  http://www.mext.go.jp/a_menu/shinkou/hojyo/main5_a5.htm
  Japan Society for the Promotion of Science (JSPS):

- If you still have questions about the KAKENHI rules, please submit an
inquiry to MEXT or JSPS through your research institution.

- A point of contact for opinions and request concerning Grants-in-Aid for Scientific Research is available at the JSPS website. If you have any opinion or request, please submit to the following URL.
  https://www.jsps.go.jp/j-iken_youbou/index01.html

* A point of contact for opinions and requests concerning competitive funds is available at the Cabinet Office. If you have any opinion or request concerning improvements relating to the ease of use of competitive funds in general, please leave them at the following URL.
  https://form.cao.go.jp/cstp/opinion-0098.html
3. What Is the Review Process?

The call for proposals, review, and other stages are scheduled to enable research to be started as soon as possible.

- Review is performed with the aim of reaching an informal decision to grant the funding by the beginning of April, so that research funds can be used without interruption.

FY2017 Schedule (from Application to Final Decision) for Scientific Research (A), (B), (C), Grant-in-Aid for Young Scientists (A), (B)
- Start of the call for proposals: September 1 of previous fiscal year
- Application deadline: November 7 of previous fiscal year
- Review period: from early December to middle of March of previous fiscal year
- Notice of Provisional Decision to the grant: April 1
- Notice of the Final Decision to the grant: Late June
* The Grant will be disbursed after Notice of Provisional Decision.

- Grant-in-Aid for Research Activity Start-up is for researchers who could not submit a proposal during the call for proposals period (September–November of the previous academic year) and therefore follows a different schedule for the call for proposals and review.

FY2017 Schedule for Research Activity Start-up
- Start of the call for proposals: March 1 of previous fiscal year
- Application deadline: May 9
4. What Is Eligibility for Applying?

In order to apply, applicants should meet the requirements (1) and (2) below.

(1) At the time of application, applicants should belong to a research institution and meet all the following requirements.

Applicants need to be recognized by a designated research institution (see note below) as being a researcher who meets the requirements a), b), and c) below, and need to be registered in the Cross-ministerial Research and Development Management System (e-Rad) as eligible to apply for a Grant-in-Aid.

Requirements
a) The researcher should belong to the research institution as someone whose duties include performing research activities within the institution (regardless of whether the work is paid or unpaid, full-time or part-time; nor is it necessary for these research activities to be the researcher’s main duty).

b) The researcher should actually be engaged in research activities at the institution. (This does not apply to those engaged only as a research assistant.)

c) The researcher is not a graduate student or other category of student. (This does not apply to persons whose position consists of conducting research activities in their institution as their main work (e.g., university teaching staff, researchers from companies, etc.) and who also have a student status.)

(The conditions or evaluation criteria on meeting the above requirements might be set separately by contract or provisions of your research institution. Please verify with your research institution where necessary.)

Note:
A research institution as defined 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 (MEXT))
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 Minister of Education, Culture, Sports, Science and Technology (MEXT)
(2) Applicants should not have been designated as “Not eligible to apply for receipt of funding in FY2017”, due to having committed fraudulent use, fraudulent receiving of grants, or fraudulent acts using Grants-in-Aid for Scientific Research or other competitive funding.

* There are research categories such as “Encouragement of Scientists” and “Research Activity Start-up” that differ in application eligibility, so please make sure to confirm the Application Procedures when applying.
5. What Issues Need to Be Considered When Applying?

Applicants should carefully confirm the contents of the Application Procedures, which are updated annually.

○ Applicants should be sure to check the following three matters carefully before applying.

(1) Confirm that you are eligible to apply (see page 7 “4. What Is Eligibility for Applying?”)
(2) Confirm the registration of your researcher information
   • The procedures for registration of researcher information and for revision of that information are performed by your research institution using e-Rad.
   • Applicants should check with the person responsible for this in their research institution for details of the procedures.
(3) Obtain an ID and a password to use the Electronic Application System
   • Your e-Rad ID and password are provided by your research institution.

○ Applicants should take special care regarding the following matters when applying.

Note: The corrections and resubmission cannot be accepted after the application documents have been submitted via the Electronic Application System to JSPS.

• When applying for multiple research projects, the restrictions regarding unreasonable reduplication, excessive concentration, or duplicate application.
• Errors or omissions in filling out the application information
• The format of the application documents may not be changed.
• When one or more Co-Investigators (kenkyū-buntansha) are added to the research team, applicants should ensure to collect their consent in the form of Written Consent of the Co-Investigator (kenkyū-buntansha), and retain it.
The Principal Investigator, Co-Investigators (kenkyū-buntansha), Co-Investigators (renkei-kenkyūsha), and Research Collaborators setting up a research team are defined as follows.

- **Principal Investigator (member of the funded project)**
  The researcher with full responsibility for the implementation of the funded project

- **Co-Investigator (kenkyū-buntansha) (member of the funded project)**
  A researcher responsible for carrying out the funded project along with the Principal Investigator, who receives a share of the funds from the Principal Investigator and may use these funds at their discretion

- **Co-Investigator (renkei-kenkyūsha) (not a member of the funded project)**
  A researcher who participates as a member of the research team but does not have discretion regarding the use of the Grant-in-Aid funds
  - In order to become a Co-Investigator (kenkyū-buntansha) or Co-Investigator (renkei-kenkyūsha), applicants need to be eligible to apply (see page 7 “4. What Is Eligibility for Applying?”).
  - The difference between the two types of Co-Investigators relates to their position in the research funding system and their relative importance in their respective roles in the research activities is equal.

- **Research Collaborator (not a member of funded project)**
  A researcher who cooperates in carrying out the research project
  - Even a person who is not eligible to apply for funding can participate as a Research Collaborator.
  - A Research Collaborator, like a Co-Investigator (renkei-kenkyūsha), does not have discretion regarding the use of the grant-in-aid funds.
6. How Are Applications Reviewed?

A peer review process is carried out in order to select high quality research projects.

(*) Peer review refers to a process of “reviews” carried out by “peers”. For KAKENHI grants, the prominent researchers who work hard at each academic fields and stand at the front of “knowledge creation”, will review and assess enthusiastically.

○ More than total numbers of 7,000 researchers are involved in the review process.
  • In order to ensure the fair selection of the highest quality review committee members, JSPS makes use of a database of review committee candidates (with approximately 92,000 persons registered) consisting largely of researchers who themselves were selected for KAKENHI funding.

* The KAKENHI review process is possible thanks to the cooperation of researchers.

○ Upon completion of review, the names of the review committee members are disclosed on the KAKENHI website.

○ Elimination of unreasonable reduplication and excessive concentration
  • In some cases, an application will not be adopted because the review process determined that there was unreasonable reduplication or excessive concentration in applying for competitive funding.

○ Disclosure of the review results for research projects that were not adopted
  • Through the electronic application system, the approximate ranking (A, B, C) per research field and the score and the “standard-format opinion” of the first stage of the review for Scientific Research, Grant-in-Aid for Young Scientists
and some other categories are disclosed.

- In addition, the opinions expressed in the review results for Specially Promoted Research, Scientific Research on Innovative Areas, etc. are disclosed.

- **Audit of review**
  - After review is completed, an audit and analysis of the review is carried out. If a review committee member is suspected of improper actions in the review process, that person will be disqualified from review in the next fiscal year, among other measures taken to ensure fair review.

- **Disclosure of the review policies and criteria**
  - Please see the MEXT and JSPS KAKENHI websites for information about review.

  Ministry of Education, Culture, Sports, Science and Technology (MEXT):
  http://www.mext.go.jp/a_menu/shinkou/hojyo/main5_a5.htm

  Japan Society for the Promotion of Science (JSPS):
### 7. When Do the Funds Become Available for Use?

The KAKENHI can be used without interruption after receiving a notification of the provisional decision to grant the funding in the initial fiscal year until the end of the final fiscal year.

<table>
<thead>
<tr>
<th>Item</th>
<th>Single-year Grants</th>
<th>Multi-year Fund</th>
</tr>
</thead>
<tbody>
<tr>
<td>Start of research work</td>
<td>New projects: April 1 (Except a part of category)</td>
<td>Continuing projects: April 1</td>
</tr>
<tr>
<td>(Notice of provisional decision to the Grant) (Notes 1, 2)</td>
<td></td>
<td>Continuing projects: There is no need to be concerned about fiscal years during the period of projects.</td>
</tr>
<tr>
<td>Disburse Grant</td>
<td>First term disbursement: in July (*)</td>
<td>Second term disbursement: in October</td>
</tr>
<tr>
<td>(Note 2)</td>
<td></td>
<td>*After the 2\textsuperscript{nd} fiscal year for Multi-year fund, the first term of will be disbursed at the beginning of the fiscal year.</td>
</tr>
<tr>
<td>Time of disburse Grant</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Deadline for the delivery of goods and provision of services necessary for the research</td>
<td>By March 31 of each fiscal year</td>
<td>Deadline for the delivery of goods and provision of services necessary for the research</td>
</tr>
<tr>
<td></td>
<td>* Recipients of grants should ask their research institution for any clarification.</td>
<td></td>
</tr>
</tbody>
</table>
(Note 1) After the notification of provisional decision, the necessary contracts (e.g. purchasing of items and hiring of Research Collaborators, etc.) can be concluded and actual research activities can be started before KAKENHI is disbursed and received.

(Note 2) The handling of the “Fund for the Promotion of Joint International Research” differs from the above. Please see below:

- Please keep in mind that in the case of new projects for the Fund for the Promotion of Joint International Research (Fostering joint international research, Returning Researcher Development Research), the start of research work is not on the day of informal offer reception, but on the day the research institution submits the application form.
- The Fund for the Promotion of Joint International Research (Fostering joint international research) is transferred in full, after the decision to grant funding is made.
8. What Is Management by Institutions?

Management and procedures for Grants-in-Aid for Scientific Research are carried out by research institutions.

< Reasons for having research institutions perform the management of Grants-in Aid for Scientific Research >

(1) To reduce the burden on researchers
- Researchers can thereby concentrate on their research.

(2) To prevent rules from being violated inadvertently
- Researchers, who may not be familiar with accounting procedures, etc., are thereby prevented from making mistakes.

○ When using KAKENHI, researchers should observe the supplementary conditions and the funding conditions in the utilization rules, as well as the accounting rules prescribed by the research institution to which they belong.
- If you have any questions similar to those below concerning the purchasing of goods, please direct them to the person in charge of managing KAKENHI at your research institution.

✓ Can faculty order goods?
✓ What about delivery inspection?
✓ Is payment done in advance?
Or is it payment upon completion? etc.
9. What Do Direct Costs Cover?

Direct costs can be used broadly for the expenses necessary to carry out the research project (i.e. purchase of goods, travel expense, personnel cost and remuneration and other expenses).

- Direct costs can be used broadly for the expenses necessary to carry out the research project (includes the expenses for summarizing research results); however, the Principal Investigator and Co-Investigator (kenkyū-buntansha) are obliged to take accountability for judgement and on how to spend the expenses.

  Also as for the usage of fund, please keep in mind of course whether the expense are appropriate in light of social norms as direct costs of Grant-in-Aid for Scientific Research and their priority. The above does not specify rules newly.

* As far as the direct costs of KAKENHI are concerned, we are specifying in "Handbook on Grants-in-Aid for Scientific Research" etc. that it can be used broadly for the expenses necessary to carry out the research project. However, in recent years, since we receive questions and requests on improvement from researchers for unique rules and individual uses that each research institute sets about management and use of research expenses, we would show our intension on the direct costs of KAKENHI.

- Direct costs can be used broadly, but expenses for which expenditure is not approved are as follows, and it is alerted to specify in the Spending Rules etc.
  - Costs of buildings and facilities (excluding the costs for minor installations which become necessary because of the introduction of goods that have been purchased by direct funding)
  - Costs of handling accidents or disasters that occur during the implementation of the funded project
  - Personnel expenditure and remuneration for the Principal Investigator or Co-Investigators (kenkyū-buntansha)
  - Other kinds of costs that are to be appropriated from indirect funding
Please make efforts to use effective and efficient use of KAKENHI through efforts such as combined use with other expenses and communal use of facilities.

- Other funds (excluding those that have restrictions on usage) can be added to the direct costs and used for the funded project.

- When the costs for usage related to the funded project are clearly distinguished from other usage, funding can be used to purchase consumables that are also used for other purposes.

- When the expenses related to the funded project are clearly distinguished from other expenses, funding can be used for a single trip involving both businesses related to the funded project and other business.

- You can also plan for the communal use equipment.
  - Not only can you combined with different KAKENHI, it is also possible to combine the funds of certain research funds in a special system that allows combination for the purchase of equipment (see the below URL) to the direct costs and buy equipment for communal use.

(*"Concerning the purchase of communal equipment with funds from different research funds (combined use)"

http://www.mext.go.jp/a_menu/shinkou/torikumi/1337578.htm)
As long as it does not interfere with the research, equipment purchased with KAKENHI may be used for other research as well.
10. What Are Indirect Costs?

Indirect costs are funds provided to the research institution to support the research activities for which KAKENHI was granted, as well as to upgrade their research environment.

- Indirect costs are expenses for research institutions delivered at a fixed ratio to direct costs.
  
  - The amount of 30 percent of the direct costs will be provided as indirect costs apart from direct costs.

- Research institution may use indirect costs to improve the R&D environment of researchers who obtain competitive funding and/or improve the functions of the overall research institution.

<Usage examples of indirect costs>

- Personnel costs (use as personnel costs for the Principal Investigator and Co-Investigators is not prohibited)
- Assignment of technical personnel for sharing of equipment and maintenance of shared equipment
- Facility costs (maintenance and management costs, etc.)
- Equipment costs (purchase costs, operation costs, etc.)
- Library costs (facility maintenance costs, upkeep costs, management costs)
- Costs of consumables for shared photocopy machines, printers, etc.
- Costs of research publicity activities
- Necessary costs for management procedures related to competitive funding
- Patent application costs, patent attorney fees, cost of requesting review, etc.
11. Can a Research Plan Be Modified?

Based on the progress of research, the following changes can be made. (Application and/or notification to JSPS is not required)

- **Changes in allocation of direct costs (within a range of 50% of the total amount)**
  - For each expense item (expenses for goods, travel expenses, personnel expenditure and remuneration, other expenses), allocation of expenses can be changed freely within a range of 50% of the **total amount of the direct costs** (*) (When 50% of direct costs is ¥3 million or less, a difference between the actual and planned expenditure is allowed up to ¥3 million.)

  (*) **The total amount of the direct costs**:
  - Single-year Grants: decided funding amount of each fiscal year
  - Multi-year Fund: decided funding amount for the entire research periods spanning several fiscal years
  - Partial Multi-year Fund: funds necessary for other business for each fiscal year as written on the application form

- **Changes to the following items described on the application for funding**
  - “Division of roles”, “direct costs (allocation of shares of each researcher)” (change in amount of shares), “research implementation schedule”, “details of the main goods”, etc.

Note:
Since research activities are by their nature subject to change as the research develops, the above changes are left to the discretion of the researchers and research institutions. It is important, however, that the decision be made properly, always from the standpoint of effectively carrying out research in order to achieve the original research objectives.
The following changes can be made, if the appropriate procedures are followed. (Application and/or notification to JSPS is required)

○ Major change in allocation of direct costs
  • Researchers need to go through the necessary procedures for changing allocation to each expense item in advance if the amount of the change exceeds 50% of total amount of the direct cost (*). (When a difference between the actual and planned expenditure is over ¥3 million, researchers must take procedure in advance.)

(*) The total amount of the direct costs:
Single-year Grants: decided funding amount of each fiscal year
Multi-year Fund: decided funding amount for the entire research periods spanning several fiscal years
Partial Multi-year Fund: funds necessary for other business for each fiscal year as written on the application form

○ Addition or removal of a Co-Investigator (kenkyū-buntansha)
  • Applicants should note carefully that changing a Co-Investigator (kenkyū-buntansha) to a Co-Investigator (renkei-kenkyūsha) participating on the same research team amounts to removal of a Co-Investigator (kenkyū-buntansha).

○ Extension of the research period due to childcare leave, etc.

○ Change in research institution to which the Principal Investigator belongs
  • If the applicant moves to a research institution that is not eligible for receiving KAKENHI, continuation of the research using KAKENHI will not be permitted.
Extension of the period of the funded project*

- The Multi-year Fund (including the Multi-year fund part of a partial Multi-year fund), can be extended for a period of one year by going through the procedures for the acceptance of extension of the funded project during the last year of the project. (In the case of Single-year Grants carry over procedures are necessary)

* As for Fund for the Promotion of Joint International Research (Fostering Joint International Research), the subsidized project period can be extended until the end of the fiscal year to which the day on which the three years have elapsed from the date of application for the grant.

As the decision to grant the funds is made by each fiscal year, funds must be used by each fiscal year. If certain conditions are met, they can be used ahead of schedule or carried over to the next fiscal year.

- Even if the research period is over several years, the provisional decision and the final decision to the Grant for Series of Single-year Grants will be made only for research expenses for the relevant fiscal year by annual basis.

- If the funded project is not expected to be completed for unavoidable reasons that could not be anticipated at the time of the final decision, research funds can be carried over to the next fiscal year for use.
  
  - See the following website for details of Carryover Funds.
    
    Ministry of Education, Culture, Sports, Science and Technology (MEXT):
    http://www.mext.go.jp/a_menu/shinkou/hojyo/1299857.htm
    
    Japan Society for the Promotion of Science (JSPS):
    https://www.jsps.go.jp/j-grantsinaid/16_rule/rule.html#kurikoshi

- By using the “Adjustment Fund”, “Single year Grants” can be used ahead of schedule or be used in the next fiscal year, if certain conditions are met.
  
  - See the following website for details of Adjustment Funds.
    
    Ministry of Education, Culture, Sports, Science and Technology (MEXT):
    http://www.mext.go.jp/a_menu/shinkou/hojyo/1330870.htm
    
    Japan Society for the Promotion of Science (JSPS):
    https://www.jsps.go.jp/j-grantsinaid/16_rule/rule.html#tyousei
13. Using “the Multi-year Fund”? 

As the decision to grant the funding is made for several years, research funds can be used according to the progress of research without sticking to fiscal year divisions.

- For the Multi-year Fund, research expenses for multiple fiscal years will be budgeted at one time, so we will make provisional decision and final decision on research expenses for the entire research period over several years in the first year.

- Research funds can be used ahead of schedule based on the progress of the research.

- During the period of the funded project, research funds can be carried over to the next fiscal year without prior authorization procedures.

- During the period of the funded project, goods can be purchased across fiscal years.
As of April, 2017, the research categories funded by the Multi-year Fund are as follows:

| Multi-year Fund | -Grant-in-Aid for Scientific Research (C)  
|                 | -Challenging Research (Exploratory)     |
|                 | -Grant-in-Aid for Young Scientists (B)  |
|                 | -Grant-in-Aid for Scientific Research (B)  
|                 | (“Generative Research Fields” selected in FY2015 and after) |
|                 | -Grant-in-Aid for Challenging Exploratory Research  
|                 | (Research projects selected in FY2011 to FY2016) |
|                 | -Grant-in-Aid for Special Purposes  
|                 | (Research projects selected in FY2017) |
|                 | -Fund for the Promotion of Joint International Research  
|                 | (Fostering Joint International Research and Returning Researcher Development Research) |
|                 | -Fund for the Promotion of Joint International Research (International Group)  
|                 | (Research projects selected in FY2016 and before) |
| Partial Multi-year Fund | -Grant-in-Aid for Scientific Research (B)  
|                         | -Grant-in-Aid for Young Scientists(A)  
|                         | (In new Research projects selected in from FY2012 to FY2014 except projects with total direct cost of ¥5 million or less) |
14. What Assessment is performed during the Research Period?

Self-assessment or third-party assessment can be used as a basis for reviewing research conducted or for leading to development into new research.

- Self-assessment is conducted for all research projects after the end of each fiscal year (when preparing research performance report, etc.).

- In the case of Specially Promoted Research and Scientific Research (S), a research progress assessment is carried out (document-based or interview-based) in the fiscal year before the final fiscal year of the research period.
  - For Specially Promoted Research, a document-based follow-up assessment will also be performed five years after the completion of the research period.

- For Scientific Research on Innovative Areas, an interview-based interim assessment is carried out in the third year after the setting of the research area and an interview-based ex-post assessment after the completion of the research period.

- The results of the above "self-assessment", "research progress assessment", "follow-up assessment", "interim assessment" and "ex-post assessment" will be made public through the "Database of Grants-in-Aid for Scientific Research (KAKEN)".
15. How Are the Research Performance and Achievements Disseminated?

Disseminating and publicizing the research performance and achievements are important for promoting the use of the research results to society and for deepening public understanding of the Grants-in-Aid for Scientific Research program. Your cooperation would be highly appreciated.

- **Writing a report on research performance is mandatory.**
  - Researchers should write a performance report using the designated form upon completion of the research and at the end of each fiscal year (if the extending of funding across fiscal years has been allowed).
  - For KAKENHI of the Multi-year Fund type, a report on the state of implementation is made as a form of annual dissemination. The report on the research performance is made after completion of the research.

- **Writing a report on research achievements is mandatory.**
  - When the research period is completed, researchers should submit a report on the research achievements.

- **The submitted report on the research performance, the report on the state of implementation of the research, and the report on the research achievements are published using the Database of Grants-in-Aid for Scientific Research (KAKEN) of the National Institute of Informatics.**
On KAKEN, the following information is recorded, disclosed and made available for use to the public.

Information on Adopted Projects
(Name of the research project, research category, name(s) of the researcher(s), affiliated research institute, research team information, research outline, opinions expressed in review results, amount allotted etc…. are disclosed)

Assessment Information
(Self-assessment report, interim assessment, research progress assessment, results of the follow-up assessment, and ex-post assessment are disclosed in PDF format)

Information on Research Achievements
(The Report on research achievements is disclosed in PDF format)

*Information that is disclosed through KAKEN will be widely and generally used in compliance with the Standard Governmental Terms of Use.
When conducting research with KAKENHI

Researchers should be sure to follow this procedure.

○ When publishing research achievements that have been obtained as a result of a KAKENHI, researchers should always be sure to indicate that a KAKENHI was received.

○ If the indication that support was received in the form of a KAKENHI grant is to be made in the acknowledgments, researchers should include JP and the 8-digit JSPS KAKENHI Grant Number.

Examples of the appropriate format for the indication in the acknowledgments are given below.

When one KAKENHI has been used to write the paper (Grant Number17K45678)

- English: This work was supported by JSPS KAKENHI Grant Number JP17K45678.
- Japanese: 本研究はJSPS 科研費JP17K45678の助成を受けたものです。

When multiple KAKENHI have been used to write the paper (three in this case) (Grant numbers xxxxxxxx, yyyyyyyy, zzzzzzzz)

- English: This work was supported by JSPS KAKENHI Grant Numbers JPxxxxxxxxx, JPyyyyyyyy, JPzzzzzzzz.

* The each research categories for KAKENHI in English will be shown in the following URL.

Japan Society for the Promotion of Science (JSPS):
https://www.jsps.go.jp/j-grantsinaid/01_seido/01_shumoku/index.html
○ **KAKENHI Research and Open Access**

The Japan Society for the Promotion of Science (JSPS) establishes in principle an implementation policy on open access of papers, which are supported by research funds starting from KAKENHI by the JSPS. Please note that this is not the case if it is difficult to make open access due to reasons such as copyright and being in an environment where the repository of your institution can not accommodate open access.

Japan Society for the Promotion of Science (Implementation Policy):
https://www.jsps.go.jp/data/Open_access.pdf

○ **Registration of the Researcher Information in research map**

“Research map” (formerly “Read&Research map” http//researchmap.jp/) is, as a general guide to Japanese researchers, Japan’s largest researcher information database. Registered information on research results can be openly disseminated over the Internet. As research map is linked to e-Rad and many university faculty databases, it allows registered information to be accessed by other systems. Furthermore, the Japanese Government has planned to utilize further the research map, please register researcher information in research map.

○ **When announcing the achievements of research funded with a KAKENHI at an academic society meeting, a symposium, or other meetings, researchers should make use of the KAKENHI logo whenever possible.**
The logo can be downloaded from the following websites.

**Ministry of Education, Culture, Sports, Science and Technology (MEXT):**
http://www.mext.go.jp/a_menu/shinkou/hojyo/1321563.htm

**Japan Society for the Promotion of Science (JSPS):**
http://www.jsps.go.jp/j-grantsinaid/06_jsps_info/g_120612/index.htm
16. What happens if the rules are not followed?

Those who fail to use the funds appropriately according to the rules will be subject to penalties, including restrictions on fund grants, being asked to return funds, and restrictions on applying for funding.

◆ 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
  • Return of KAKENHI: Entire amount
  • Suspension of eligibility to apply: 5 years
    (The researcher receiving the funds and those who were involved)

◆ 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
  • Return of KAKENHI: Part or entire amount
  • Suspension of eligibility to apply: 1 to 10 years
    (The researcher fraudulently using the funds, those who conspired in fraudulent use, and persons responsible for managing the funds that were used fraudulently)

◆ 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
• Return of KAKENHI: Part or entire amount
• Suspension of eligibility to apply: 1 to 10 years
  (The individual found to have been involved in fraudulent acts and persons responsible for the contents of the paper, etc., affected by the fraudulent acts)

Note:
• In all of the above-mentioned cases, the funding of grants will also be suspended for research projects that already have been adopted. It will also become impossible for Co-Investigators (kenkyū-buntansha) who have been allotted funds to receive a share of these funds.
• Moreover, in principle, an outline of the fraud, including the names of researchers found to have committed fraud, is made public.
• In addition, applications for, and participation in, competitive funds other than KAKENHI may be limited.

○ Participation in an Ethics Education in Research Training Sessions and Compliance Education
The Principal Investigators and Co-Investigators (kenkyū-buntansha) of the research conducted with KAKENHI are asked to engage in research activities after learning the ethical standards demanded of researchers etc. by participating in the Ethics Education in Research Training Session and Compliance Education implemented by their research institution.

○ Confirmation of Participation in an Ethics Education in Research Training Sessions etc.
Participation in a Research Ethics Education course of the Principal Investigator and Co-Investigator (kenkyū-buntansha) will be confirmed through the JSPS Electronic Application System. In participating the course of the Research Ethics Education, please follow the policy of participating research institution's Research Ethics Education etc.
In addition, at the JSPS provides an research ethics educational material such as "For the Sound Development of Science -The Attitude of a Conscientious Scientist-" (Green Book), and “e-Learning Course on Research Ethics [eL CoRE]” based on Green Book, so please utilize it appropriately.
Japan Society for the Promotion of Science (JSPS):
https://www.jsps.go.jp/j-kousei/rinri.html

Receiving funds through fraudulent means or using funds in a fraudulent manner while conducting research will undermine public trust in scientific research as a whole. It is, therefore, vital that those who utilize public research funds conduct their research activities in accordance with appropriate research ethics.
17. Protection of human rights and compliance with laws and regulations

Depending on the research content, necessary procedures may be stipulated by laws and guidelines such as the following by Ministry of Education, Culture, Sports, Science and Technology etc., so please keep in mind.

<table>
<thead>
<tr>
<th>Research Contents Included in the Research Plan</th>
<th>Related Laws and Guidelines</th>
</tr>
</thead>
<tbody>
<tr>
<td>Human Genome/Gene Analysis Research</td>
<td>Ethical Guidelines for Human Genome/Gene Analysis Research</td>
</tr>
<tr>
<td>Medical and Health Research Involving Human Subjects</td>
<td>Ethical Guidelines for Medical and Health Research Involving Human Subjects</td>
</tr>
</tbody>
</table>
| Research Including the Handling of Specified Embryos | ○Act on Regulation of Human Cloning Techniques  
○Guidelines on the Handling of Specified Embryos |
| ○Research Including the Derivation and Utilization of Human Embryonic Stem Cells  
○Research Including Producing Germ Cells from Human iPS Cells, etc. | ○Guidelines on the Derivation of Human Embryonic Stem Cells  
○Guidelines on the Distribution and Utilization of Human Embryonic Stem Cells  
○Guidelines on the Research on Producing Germ Cells from Human iPS Cells or Human Tissue Stem Cells |
<p>| Research on Assisted Reproductive Technology Treatment | Ethical Guidelines for Research on Assisted Reproductive Technology Treatment Producing Human Fertilized Embryos |</p>
<table>
<thead>
<tr>
<th>Clinical Trials on Gene Therapy etc.</th>
<th>Ethical Guideline for Clinical Trials on Gene Therapy, etc.</th>
</tr>
</thead>
<tbody>
<tr>
<td>Research Including Genetic Recombination Experiment</td>
<td>Act on the Conservation and Sustainable Use of Biological Diversity through Regulations on the Use of Living Modified Organisms, etc.</td>
</tr>
<tr>
<td>Research Plan Including Research Using Pathogens, etc.</td>
<td>Act on the Prevention of Infectious Diseases and Medical Care for Patients with Infectious Diseases</td>
</tr>
<tr>
<td>Studies Involving Animal Experiments</td>
<td>Fundamental Guidelines for Proper Conduct of Animal Experiment and Related Activities in Academic Research Institutions</td>
</tr>
<tr>
<td>Research Including Acquisition, Bring-in, Purchase and Receipt of Foreign Biological Samples</td>
<td>The Guidelines on Access to Genetic Resources and the Fair and Equitable Sharing of Benefits Arising from Their Utilization, etc.</td>
</tr>
<tr>
<td>Studies Involving Provision of Technology for which the Influence on Nonresidents or Foreign Countries is Regulated or Export of Goods</td>
<td>Foreign Exchange and Foreign Trade Act, etc.</td>
</tr>
</tbody>
</table>

In addition to the above, laws and regulations, guidelines, etc. may be stipulated according to research content and policy, so please be aware.

The above table is tentative translation.
18. Trend on KAKENHI Reform

**FY2018 Reform of the KAKENHI Review System**

The JSPS will introduce a new "the Review Section Table" and "Review System" starting from the grant for FY2018 (scheduled for call for proposal in September, 2017), aiming to enhance the quality of review and to promote more original research.

- The current “List of Categories, Areas, Disciplines and Research Fields” is abolished and the new “Review Section Table” consists of “Basic Section” “Medium-sized Section” and “Broad Section” will be adopted for review.
- We will introduce the Comprehensive Review in which document review and panel review are reviewed by the same review committee and the document review twice by the same review committee (the Two-Tier Document Review) from method which the current document review and the panel review are conducted by different review committee. (The review method depends on the research category).

Please refer the details in the following URL.

Ministry of Education, Culture, Sports, Science and Technology (MEXT): “Trend on KAKENHI Reform”
http://www.mext.go.jp/a_menu/shinkou/hojyo/1362786.htm
Reform for Research Categories of KAKENHI

Starting from FY2018 of KAKENHI program (schedule on application call for proposal in September, 2017), Research Categories of “Scientific Research” are core category, and their complementary Research Categories of “Transformative Research” categories must be re-classified and strengthened as a new category.

▪ Research Categories of “Scientific Research”

Research Categories to consolidate scaffolds for academic research which supports research aimed at deepening and developing academic disciplines based on accumulation in past.

▪ Research Categories of “Transformative Research”

Research Categories to support research based on innovative ideas, changing
of scientific phenomena with potential to lead change and conversion, development of new areas.

- Research Categories of “Early-Career Scientists”
  Research Categories provide opportunities for independent research by young researchers to support growth as researchers and to facilitate step-up to Research Categories of “Scientific Research”.

Please refer the details in the following URL.
(Ministry of Education, Culture, Sports, Science and Technology (MEXT): “Strengthening support for challenging research by KAKENHI (by Science Subcommittee of Council for Science and Technology))
Trajectory of Grant-in-Aid System Reform (Process sheet)
Inquiries:

Scientific Research Aid Division, Research Promotion Bureau
Ministry of Education, Culture, Sports, Science and Technology
3-2-2 Kasumigaseki, Chiyoda-ku, Tokyo 100-8959 JAPAN
Tel. 03-5253-4111 (ext. 4094, 4087, 4091)
Website: http://www.mext.go.jp/a_menu/shinkou/hojyo/main5_a5.htm

Research Aid Planning Division, Research Aid Division I, II,
Research Program Department
Japan Society for the Promotion of Science
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Website: http://www.jsps.go.jp/j-grantsinaid/index.htm