Handbook for easy use of KAKENHI
Grants-in-Aid for Scientific Research
Preface

This Handbook has been prepared primarily for researchers who are using Grants-in-Aid for Scientific Research (kakenhi) or who are planning to apply for these grants. It provides a simple description of the basic contents of the grant program.

To more comprehensively understand and make effective use of Grants-in-Aid, please be sure to read this Handbook.

A major reform was made to the Grants-in-Aid Program by establishing a new Fund in FY 2011. Please see the details on pages 3-5.

The Fund is established within the Japan Society for the Promotion of Science (JSPS) with funding allocated by the Ministry of Education, Culture, Sports, Science and Technology (MEXT) and is used to disburse Grants-in-Aid.

Grants-in-Aid disbursements now take two forms: the conventional series of single-year grants and multi-year grants disbursed from the new Fund. However, the basic character and objectives of the Grants-in-Aid Program have not changed.
Grants under the multi-year Fund

This tab appears on the corner of pages on which the handling of grants under the multi-year Fund differs from the conventional handling of Grants-in-Aid. The related content is shaded in blue.

~Image of Grants-in-Aid System~

Grants-in-Aid for Scientific Research = Kakenhi

FY 2010

Grants-in-Aid

Scientific Research (C), Challenging Exploratory Research, Grant-in-Aid for Young Scientists (B)

Other grant categories:
Specially Promoted Research, Scientific Research (A), etc.

FY 2011

Fund established
(Applicable to newly selected projects from FY 2011)

Multi-year Fund

Series of single-year grants

Continuing projects

Newly selected and continuing projects
Table of Contents

1. What are *kakenhi* grants?
2. What is the Multi-Year Fund?
3. What is the grant application and selection schedule?
4. What are the *kakenhi* rules?
5. Who is eligible to apply for a grant?
6. What should be kept in mind when applying?
7. How are applications screened?
8. From when may I start using the *kakenhi* grant?
9. How do institutions administer the grant?
10. What direct expenses may be covered by the grant?
11. What constitutes indirect funding?
12. May the research plan be changed?
13. Under what circumstances may the grant be carried over into the next fiscal year?
14. How is the reporting of research performance and results conducted?
15. How should the research results be announced?
16. How are in-progress evaluations conducted?
17. What happens if the rules are broken?
18. Are there any other rules?

*Kakenhi* Information Sites
1. What are *kakenhi* grants?

These grants support competitive research based on the free ideas of the researchers themselves. They cover the full spectrum of scientific research fields from the humanities and social sciences to the natural sciences.

The Grants-in-Aid Program within Japan’s S&T Research Policy Framework

**Research Components**

- Scientific research based on researcher’s creative ideas
  - [curiosity-driven research]
  - [mission-oriented research]
- Openly recruited research for purposes set by ministries
- Government-led national projects
- Strategically advanced R&D by research organizations
- Research advanced by universities and inter-university research institutes
- Competitive Funding
  - (Openly recruited/peer reviewed)
- Government subsidies for independent administrative institutions
Grant categories are established to meet a variety of research objectives and scales.

<table>
<thead>
<tr>
<th>Categories</th>
<th>Objective</th>
<th>Function</th>
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<tbody>
<tr>
<td>Grants-in-Aid for Scientific Research</td>
<td>Internationally assessed research expected to produce outstanding results</td>
<td>JSPS</td>
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<tr>
<td></td>
<td>• 3-5 years</td>
<td></td>
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<tr>
<td></td>
<td>• 500 million yen or more per project</td>
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<tr>
<td>Specially Promoted Research</td>
<td>Highly responsive research on issues of urgent societal needs that require global collaboration</td>
<td>MEXT</td>
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<tr>
<td></td>
<td>• 3-6 years</td>
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<td></td>
<td>• 20-600 million yen yearly per area</td>
<td></td>
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<tr>
<td>Scientific Research on Priority Areas</td>
<td>(Research in a proposed research area) Joint research in new disciplines that contributes to elevating Japan’s scientific standard and fostering young researchers</td>
<td>MEXT</td>
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<tr>
<td></td>
<td>• 5 years</td>
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<tr>
<td></td>
<td>• 10-300 million yen yearly per area</td>
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<tr>
<td>Scientific Research on Innovative Areas</td>
<td>(Research under a proposed research project) Innovative topical research with potential for scientific breakthroughs, without a guarantee of good results</td>
<td>MEXT</td>
</tr>
<tr>
<td></td>
<td>• 3 years</td>
<td></td>
</tr>
<tr>
<td></td>
<td>• 10 million yen yearly</td>
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<tr>
<td>Scientific Research</td>
<td>Leading-edge research by a researcher or a small group of researchers</td>
<td>JSPS</td>
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<tr>
<td></td>
<td>• As a rule 5 years</td>
<td></td>
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<tr>
<td></td>
<td>• 50-200 million yen per project</td>
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<tr>
<td>Challenging Exploratory Research</td>
<td>Research at an early stage with highly challenging goals based on unique concepts</td>
<td>JSPS</td>
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<tr>
<td></td>
<td>• 1-3 years</td>
<td></td>
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<td></td>
<td>• Up to 5 million yen per project</td>
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<tr>
<td>Grants-in-Aid for Young Scientists</td>
<td>Research carried out by an individual researcher of up to age 42</td>
<td>JSPS</td>
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<tr>
<td></td>
<td>• 5 years</td>
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<td></td>
<td>• 30-100 million yen per project</td>
<td></td>
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<tr>
<td></td>
<td>Research carried out by an individual researcher of up to age 39</td>
<td>JSPS</td>
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<tr>
<td></td>
<td>• 2-4 years</td>
<td></td>
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<td></td>
<td>• 5-30 million yen per project</td>
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<td></td>
<td>(B) Up to 5 million yen per project</td>
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<tr>
<td>Research Activity Start-up</td>
<td>Start-up research mainly conducted by a newly tenured researcher</td>
<td>JSPS</td>
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<tr>
<td></td>
<td>• Up to 2 years</td>
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<td></td>
<td>• Up to 1.5 million yen per year</td>
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<tr>
<td>Encouragement of Scientists</td>
<td>Research carried out by an employee of an educational or research institution or a corporation or any other individual</td>
<td>JSPS</td>
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<tr>
<td></td>
<td>• 1 year</td>
<td></td>
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<tr>
<td></td>
<td>• Up to 1 million yen</td>
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<tr>
<td>Grant-in-Aid for Special Purposes</td>
<td>Urgent and critical research subjects</td>
<td>MEXT</td>
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<tr>
<td>Grant-in-Aid for Publication of Scientific Research Results</td>
<td>Publishing scientific research results</td>
<td>MEXT</td>
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<tr>
<td>Scientific Periodicals</td>
<td>Publication of international academic journals</td>
<td>JSPS</td>
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<tr>
<td>Scientific Literature</td>
<td>Books on research results</td>
<td>JSPS</td>
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<tr>
<td>Databases</td>
<td>Compiling and networking databases</td>
<td>JSPS</td>
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<tr>
<td>Grant-in-Aid for JSPS Fellows</td>
<td>Research by JSPS pre- and postdoctoral fellows (Japanese and overseas researchers)</td>
<td>JSPS</td>
</tr>
<tr>
<td></td>
<td>• Up to 3 years</td>
<td></td>
</tr>
<tr>
<td>Grant-in-Aid for Creative Scientific Research</td>
<td>To further advance selected components of highly creative research conducted under Grants-in-Aid</td>
<td>JSPS</td>
</tr>
<tr>
<td></td>
<td>• 5 years</td>
<td></td>
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</table>

Newly selected grants under the categories printed in blue (i.e., Scientific Research (C), Challenging Exploratory Research, Grant-in-Aid for Young Scientists (B)) are covered under the multi-year Fund from FY 2011. Please see pages 3-5 for details about the multi-year Fund.

MEXT is in the process of transferring the distribution of grants to JSPS.
2 ❓What is the Multi-Year Fund?

By establishing the multi-year Fund, the Grants-in-Aid system was reformed to allow the use of grants in advancing research without a break between fiscal years.

In FY 2011, a multi-year Fund for supporting scientific research was established within JSPS to cover specific grant categories.

- Grant categories covered under multi-year Fund: Scientific Research (C), Challenging Exploratory Research, and Grant-in-Aid for Young Scientists (B)
- Grants awarded under these three categories in FY 2010 and before are not covered under the multi-year Fund, nor are other grant categories.

The multi-year Fund offers the following merits:

✔ In line with the advancement of research, it is possible to draw and use funds from the next fiscal year’s allocation.
   ✗ In the past, it was not possible to carry forward funds from the next fiscal year.

✔ Funds may be carried over and used in the next fiscal year without advanced processing.
   ✗ In the past, a request had to be submitted and approved in advance when researchers wanted to carry over funds into the next fiscal year. (See pages 33-34)

✔ It is allowable to order and purchase materials across fiscal years.
   ✗ In the past, the purchase of materials across fiscal years was not allowed, except when a carry-over of funds was approved. (See pages 27, 33, 34).

Others: Not having to reapply each year during the supported research period allows researchers to concentrate on their work without concern or anxiety about subsequent grant approvals. As multi-year grant usage eliminates wasteful last-minute spending at the end of fiscal years, it also enhances the efficiency and effectiveness of the Grants-in-Aid Program.
Single-year Grants-in-Aid and Multi-year Fund Grants-in-Aid differ in the following ways.

**Single-year grants**

- Once for each fiscal year
- Each fiscal year upon grant approval
- Allocated funds disbursed one fiscal year at a time
- Two disbursements made with grant categories
  - Specially Promoted Research and Scientific Research (S).

**Multi-year Fund grants**

- Once for multiple fiscal years over entire project period
- First fiscal year: After grant approval, funds disbursed for only the first fiscal year.
  - Second fiscal year on: Funds disbursed for each fiscal year (requested at the end of the prior fiscal year)
  - Multi-year fund: Two disbursements made when funding requested for a fiscal year exceeds ¥3 million.

**Purchasing materials across fiscal years**

- The delivery of purchased materials must be completed by the end of the fiscal year (31 March).
- Grant funds may not be used across fiscal years, except when a carry-over is approved. (See pages 27, 33, 34.)

**During the project period, materials may be ordered and purchased across fiscal years.**
**Single-year grants**

Funds may not be carried forward from the next fiscal year. (They must be used within the bounds of each fiscal year.)

Reason: Only when there is an unanticipated development or unavoidable reason may funds be carried over.

Processing: Advanced processing is required to carry over funds (including the submission of a “Statement of Purpose”). (See pages 33-34.)

Mixing carried over funds: When a carry-over is approved, the funds must be used for the stated purpose and may not be mixed with the next fiscal year’s project budget.

**Multi-year Fund grants**

Funds needed to advance the research may be drawn and used from the next fiscal year.

- To carry funds forward, a “Request for Carry-Forward Payment” must be submitted.
- When funds are carried forward, the project period may not be shortened.

Reason: Funds may be carried over without giving a reason (even for personal reasons such as caregiving).

Processing: No processing is required to carry over funds. (Use of carried over funds included in a research-status report compiled at the end of each fiscal year.)

- Advanced processing is required to extend the length of a grant-supported project.

Mixing carried over funds: Carried over funds may be mixed with the next fiscal year’s project budget.
3. What is the grant application and selection schedule?

The following grant application and selection schedules are provided to allow researchers to begin their funded research activities as expediently as possible.

So that a continuum can be maintained between a completed and newly funded project, screening is carried to allow the provisional decision of selection to be made at the beginning of April.

Application/selection schedule for the categories Scientific Research (A)/(B)/(C) and Grant-in-Aid for Young Scientists (A)/(B):

FY 2010
- Issue call for applications: Beginning of September (previous fiscal year)
- Receive applications: Beginning of September—mid-November (previous fiscal year)
- Screening period: Beginning of December — beginning of March (previous fiscal year)
- Provisional decision of grant selection: Beginning of April
- Decision of grant selection: Mid-June

For the grant categories Specially Promoted Research, Scientific Research on Innovative Areas (Research in a proposed research area) (in newly selected research areas), and Scientific Research (S), the application period is the same; however, provisional selection decision will be slightly delayed. This is because the hearing conducted in the screening process lengthens the screening period.
The Grant-in-Aid for Research Activity Start-up is designed to allow researchers who have just been employed in a research institution an opportunity to apply for a grant. For those who were unable to apply during the application period of September-November of the previous fiscal year, the application and screening periods for this grant are set later than for other grant categories.

- Issue call for applications: Mid-March (previous fiscal year)

- Receive applications: Mid-March (previous fiscal year) – mid-May
4. What are the *kakenhi* rules?

There are three sets of *kakenhi* rules: one for grant application, evaluation and utilization.

**Application**

Application-related rules, including eligibility, are stipulated in the Application Guidelines.

**Evaluation**

Evaluation-related rules include those for application evaluation (screening), mid-term project evaluation, post-project evaluation, research-progress evaluation, and follow-up evaluation. They are stipulated in Rules Concerning the Screening and Assessment for Grants-in-Aid for Scientific Research (Scientific Research, etc.) and other guidelines.

**Utilization**

Rules for using disbursed grants are contained in the Terms and Conditions for Single-year Grants and for Multi-year Grants provided to researchers when their grant applications are approved.

“Terms and Conditions” are separately provided for single-year Grants-in-Aid and Grants-in-Aid under the multi-year Fund.
5. Who is eligible to apply for a grant?

To be eligible to apply for a grant, a researcher must satisfy the two criteria stipulated below.

1. At the time of application, the researcher must be affiliated with an eligible research institution and meet the following three conditions, and must be registered as eligible to apply for a Grant-in-Aid within the Cross-ministerial R&D Management System (e-Rad).

Conditions for researchers

(1) Must be engaged in carrying out grant-supported research activities at an eligible research institution. Must be affiliated with the subject research institution in either a paid, unpaid, full-time or part-time capacity. The subject research is not required to be the researcher’s main duty.

(2) The researcher must actually be engaged in conducting the supported research at the subject research institution. (However, researchers whose only involvement is in a support capacity are not eligible.)

(3) May not be a graduate or other student. (However, students are eligible who perform duties related to implementing the research at the subject research institution (as, for example, faculty members or corporate researchers).

The following research institutions are eligible under Article 2 of the Rules for Handling Grants-in-Aid for Scientific Research.
1) Universities and inter-university research institutes
2) MEXT-affiliated institutions that conduct scientific research
3) Technical colleges
4) Other institutions designated by the Minister of MEXT
2. Must not be ineligible for an FY2011 grant due to misuse, misappropriation or misconduct related to the Grants-in-Aid or other competitive funding program.

Conditions for research institutions

For a researcher to be eligible to conduct research activities at a research institution using a Grant-in-Aid, the institution must meet the following two conditions:

(1) When a grant is issued, the research institution must implement the subject research activity as its own project.

(2) When a grant is issued, the research institution must administer the money as its own funds.

At the time of application, the research institution must also submit a “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).”

Note: The above requirements are for the FY2011 recruitment. For the FY 2012 recruitment, please check its Application Guidelines.
6. What should be kept in mind when applying?

Be sure to read the application guidelines and screening criteria.

The contents of the application guidelines are revised each year. The latest updated version can be obtained from the following webpages:

MEXT: http://www.mext.go.jp/a_menu/shinkou/hojyo/main5_a5.htm

It is necessary to do the following three things before submitting an application.

(1) **Confirm your application eligibility**

   Refer to pages 9-10 for eligibility details.

(2) **Confirm your information registered on the e-Rad system.**

   Both researcher registration and registration/modification of research information on e-Rad is done by your research institution, so for details please check with the office in charge of e-Rad at your institution.

(3) **Obtain an e-Rad ID and password**

   As long as you have not changed research institutions since then, you may use the ID and password you received in the past.
The research plan is an essential component of a grant application.

When preparing your research plan, please bear the following points in mind. Please also be careful to first check the duplication restriction in the Application Guidelines to confirm whether your application falls into an eligible research category.

- Prepare your research plan in accordance with “Procedures for Preparing and Entering a Research Plan.”

- At the top of each column on the form are instructions about what to enter. Be sure to follow them as the required information will be used as screening criteria.

- The application screening rules and criteria are published each year. When preparing your research plan, be sure to reference the screening criteria for your subject grant category.

- An English version of the grant application guidelines and research plan form is issued, and applications may be submitted in English. (However, the forms to be submitted after provisional decision (e.g., disbursement application form, progress report, research-results report) must be prepared in Japanese.

Care should be taken not to omit any required information or make entry errors.

- The screening criteria are based on the entry items in the application information (items to be filled in on the form provided on the website). As there is a tendency for mistakes to be made in information entered on the electronic (website) portion, care should be taken not to omit or erroneously enter information as doing so may disqualify the applicant.
Correction, resubmission and late submission of application documents

- Once the application documents are submitted, no resubmissions or corrections will be permitted even if errors are found to exist in the application content.

- Applications submitted (transmitted) after the deadline will not be accepted regardless of the reason. Therefore, please check with the office in charge of Grants-in-Aid at your institution with regard to its application procedure and schedule.

Obtaining advanced consent of Co-Investigator (kenkyū-buntansha)

In cases when there is a Co-Investigator (kenkyū-buntansha) in the research group, the Principal Investigator should confirm in advance his/her intent to apply for the grant and obtain “Written Consent of the Co-Investigator (kenkyū-buntansha)” to retain on file.
Co-investigator (kenkyū-buntansha), co-investigator (renkei-kenkyūsha), and research collaborator are defined as follows.

The Principal Investigator has autonomous responsibility for the use of the kakenhi grant. There is also a Co-Investigator (kenkyū-buntansha) when another researcher takes responsibility for implementing a part of the funded project and is allowed to use the grant funds at his/her own discretion. Both the Principal Investigator and Co-Investigator (kenkyū-buntansha) are classified as members of a funded project.

Researchers who are not given autonomous use of the grant funds are classified as a Co-Investigator (renkei-kenkyūsha).

- A researcher must meet the eligibility requirements to become a co-investigator (kenkyū-buntansha) or a co-investigator (renkei-kenkyūsha). (See pages 9-10.)

The difference between Co-Investigator (kenkyū-buntansha) and Co-Investigator (renkei-kenkyūsha) is only one of classification under the grant system, not being meant to denote a lesser role in the research activities.
Examples

Researcher A is a Co-Investigator (*kenkyū-buntansha*) if s/he receives an allocation of say ¥3 million from the Principal Investigator and uses it to carry out an experiment under the project.

Researcher B is a Co-Investigator (*renkei-kenkyūsha*) if s/he receives materials or equipment from the Principal Investigator and uses them to conduct research while participating in an experiment under the project.

**Research collaborators participate in carrying out the research but are not positioned as grantees.**

-Even researchers who do not meet the application eligibility requirements may become a research collaborator.
-Like co-investigators (*renkei-kenkyūsha*), research collaborators may not independently use Grant-in-Aid funding.
As a rule, researchers employed with Grants-in-Aid may not themselves apply for a Grant-in-Aid.

Researchers employed with Grants-in-Aid are normally contracted to concentrate their efforts on the employer’s work. As priority is given to those working hours, such researchers may not, as a rule, themselves apply for a Grant-in-Aid.

However, application is permitted under the following circumstances.
- The researcher is eligible to be a principal investigator, co-investigator (kenkyū-buntansha) or co-investigator (renkei-kenkyūsha).
- The researcher is himself capable of advancing grant-supported research as continuing project.

✔ When a provision is included within the researcher’s contract permitting him to carry out independent research separate from the employer’s grant-supported work.

✔ When a clear division is made in the time and effort that the researcher devotes to the employer’s grant-supported work and his own independent research.

✔ When ample time exists outside the employer’s grant-supported work for the researcher to carry out his own independent research.
7. How are applications screened?

Grant application screening is carried out through a peer review process by qualified researchers.

The application selection method and criteria are fully and openly disclosed.

Each grant category has its own peer-review process.

For the categories Scientific Research, Grant-in-Aid for Young Scientists, and Challenging Exploratory Research

Experts in each research field (4 or 6 per application) conduct a document review, followed by a panel review carried out by the Selection Committee.

Scientific Research and Grant-in-Aid for Young Scientists

In the document review, each application is given an overall ranking of 1 to 5, with each evaluation item scored 1 to 4. Written comments are provided by each examiner. In the following panel review, applicants are selected for grants based on the document review results and deliberation among the panel members, including on the appropriateness of document review scores.
Challenging Exploratory Research

In the document review, each application is given an overall ranking based on two components: a 1-4 independent ranking for each application, and a 1-2 relative ranking for the applications scored highest in a comprehensive review. Each evaluation item is scored 1 to 4, with written comments provided by each examiner. In the following panel review, applicants are selected for grants based on the document review results and deliberation among the panel members, including on the appropriateness of document review scores.

Specially Promoted Research and Scientific Research (S)

In the case of applications for large-scale projects, a hearing, conducted by members of the Selection Committee, is added to the document review.

Grant applications under the multi-year Fund are screened using the same policy and criteria as single-year grants.

Application reviews are carried out by MEXT and JSPS in their respective areas of jurisdiction. Altogether, a total of more than 6,000 researchers serve as reviewers.

-After screening is completed, the reviewers’ names are posted on the Grants-in-Aid website.

MEXT: http://www.mext.go.jp/a_menu/shinkou/hojyo/main5_a5.htm
To ensure the impartial selection of high-caliber reviewers, JSPS maintains a database of potential reviewers (about 59,000 registered names) of mainly researchers who have previously been selected for kakenhi grants. The database is used to select each year’s reviewers.

- The databased researchers are asked to verify and update their registered information. Keeping the database current is extremely important in conducting effective reviews. Researchers are requested to keep their registered information continuously updated. (From FY 2010, researchers may check or update their registered information at any time.)

The performance of each reviewer is checked and analyzed, with those reviewers found to have lacked impartiality not asked to serve as a reviewer the following year. Accordingly, the results are used to improve the fairness of the screening process.

The screening results can be provided to unsuccessful applicants.

For the categories Scientific Research and Grant-in-Aid for Young Scientists
-The document review results are provided to unsuccessful applicants in ranking order of ABC along with the passed/failed results of each evaluation item (e.g., scientific importance, research plan effectiveness). From FY 2010, notification of screening results has been made using an electronic application system, replacing the previous notification method by postcard. The principal investigator can view the results by logging onto the same electronic system s/he used when submitting the application.

For the categories Specially Promoted Research and Scientific Research on Innovative Areas

-For these categories, comments on the evaluation results are provided.

**If during the screening process, an unjustifiable duplication or over-concentration of competitive funding is found to exist in a proposed project, it may not be selected.**

* For more information on application screening, please see the following MEXT and JSPS webpages:

MEXT: http://www.mext.go.jp/a_menu/shinkou/hojyo/main5_a5.htm
8. From when may I start using the *kakenhi* grant?

The grant may be used continuously from when the notice of provisional decision of grant selection is issued in the initial fiscal year to the end of the last fiscal year of the grant period.

**Selection notification for most new grants is made on 1 April (except for some large grant categories). Research may start from the day that the Notice of Provisional Decision is issued. For projects continuing from the previous fiscal year, the funds may be used without break from 1 April.**

- Once the Notice of Provisional Decision is received, the researchers may enter contracts for purchasing goods and services, and start their research activities even before the grant is disbursed.

- The grant funds are distributed around mid-June after the researchers submit a request for disbursement and it is approved.

With grants under the multi-year Fund, disbursement is made at the beginning of each fiscal year from the second year.

- The research institution advances the researchers’ funds needed for starting their research activities in April. A settlement is made after the grant is disbursed.

* With grants selected in FY 2011 under the multi-year Fund, the Notices of Provisional Decision were issued on 28 April, delayed slightly due putting in place the new grant system.
Funded research may be conducted up to the end of the fiscal year. (The year-end progress-reporting period is set for the end of May of the following year to come after the research institution’s account-closing procedures in March.)

-For single-year grants, contracts for and deliveries of goods and services should be set to expire by 31 March of the subject fiscal year.

With grants under the multi-year Fund, funds may be carried over into the next fiscal year during the period of the supported project (for such purposes as purchasing materials).

*For more details, please inquire at your host research institution.
9. How do institutions administer the grant?

All grant administration and processing is carried out by the research institution.

This is done for the following reasons:

(1) To lighten the administrative burden of the researchers
   This allows the researchers to concentrate on their work.

(2) To prevent unintended rule infractions
   This helps researchers, who are not well-versed in accounting procedures, avoid making inadvertent errors.

The Terms and Conditions, which provide grant usage rules, and the affiliated research institution’s accounting rules are to be followed when using the grant funds.

- When purchasing materials, observe the Terms and Conditions and your institution’s prescribed rules. Be sure to have a member of the accounting department or other third-party person verify the delivery and receipt of ordered materials.

- The research institution carries out the administration and processing of the grant funds; however, as the principal investigator and co-investigator (kenkyū-buntansha) are defined by law as the grantees, they should carry out their duties with a firm knowledge of the grant usage terms and conditions and of their project’s expenditure balance sheet.
10. What direct expenses may be covered by the grant?

The grant can be used widely and flexibly to cover expenses directly related to the research.

The grant may be used for purchasing materials and equipment needed to conduct the subject research, for related travel and remunerations, and for covering other costs required in implementing the research.

The grant may be used to cover the following expenses.

For employing people who cooperate in the research

The grant may be used for employing personnel including researchers to implement the research, with the exception of the Principal Investigator and Co-Investigator (kenkyū-buntansha). Such personnel are to be hired by the research institution, not the Principal Investigator. An employment contract is to be issued that stipulates clearly the person’s work content.

For leasing research space

When the host institution is unable to accommodate the research project, the grant may be used to pay rent and deposits, etc. It may also be used to cover space charges within the institution.
For disposal of hazardous substances used in/generated by research implementation

The grant may be used to cover the disposal costs of chemicals and other hazardous substances used in or generated while carrying out the research.

For participating in domestic and international research conferences

For food costs in holding symposia and other meetings (The grant may not be used to buy alcoholic beverages.)

For submitting research papers to academic journals, preparing and operating websites, preparing pamphlets to widely disseminate research results, for PRing the research achievements to the general public
What expenses are the grant not allowed to cover?

Expenses that do not coincide with the stated objectives of or are not directly related to the funded research are not authorized.

Even if it will economize expenditures, the funds may not be used for other research.

The grant may not be used to cover the following expenses:

- Equipping buildings or other facilities (with the exception of installing equipment purchased by the researchers with the grant funds)
- Repairing damage caused by accidents or natural disasters that occur during the research
- Paying wages or remunerations to principal investigators or co-investigators (*kenkyū-buntansha*)
- Paying expenses that should be covered by indirect funding

The grant may not be mixed with other funding except in the following cases.

Cases where funds are permitted to be mixed:
- When a trip is made to conduct business for both the funded project and another purpose, providing that a clear separation is made between the two expenditures.
- For the purchase of a single unit of consumable supplies used for the project and another purpose, providing that a clear separation is made between the two expenditures. (A unit is one case, one dozen or other such unit of purchase.)
- When the direct funding is added to other funding in carrying out the project (except in the case of income from commissioned work, regular budgetary subsidies for private universities, other Grants-in-Aid for direct or indirect funding.)
With single-year grants, funds may not be carried over to the next fiscal year (except when such carry-overs are approved).

With grants under the multi-year Fund, funds may be carried over to the next fiscal year.

- With single-year grants, the purchase of goods and services are to be closed out by 31 March of the subject fiscal year; with authorization, however, they may be carried over into the next fiscal year. (See pages 33-34.)

The same rules apply to research activities continued in the next fiscal year.

Please take note of the following restriction:
- Expenses (e.g., air tickets, lodging fees) for travel in the next fiscal year may not be paid for out of the grant for the current fiscal year. The same applies to the payment of international conference registration fees. (When necessary to make a registration payment for a conference held at the beginning of a fiscal year, payment may not be made from the budget of the previous fiscal year. Funds should be advanced by the research institution if the grant for the current fiscal year has not yet been disbursed.)

- With grants under the multi-year Fund, funds may be carried over and used to make orders and purchases across fiscal years during the project period. They may also be mixed and used with the following year’s funds.

*For details, inquire at your host research institution.*

* The Grants-in-Aid Program allows flexible use of funds to cover necessary expenses. However, members of funded projects should use their Grant-in-Aid funds in a proper and efficient manner, while following the prescribed rules and bearing in mind that the funds come from the Japanese people’s precious tax money.
11. What constitutes indirect funding?

In addition to supporting research activities, Grants-in-Aid also provide research institutions with capital for use in defraying overhead cost incurred in establishing and maintaining their research-support environment.

This indirect funding is disbursed to the research institution to which the kakenhi grantee is affiliated.

Thirty percent is added to the grant to cover indirect funding in the following grant categories: Specially Promoted Research, Scientific Research on Innovative Areas, Scientific Research, Challenging Exploratory Research, Grant-in-Aid for Young Scientists, Grant-in-Aid for Research Activity Start-up, and Creative Scientific Research.
Defining indirect funding as being necessary funds used at the discretion of the head of a research institution to carry out management operations related to a grant-funded project, they may be widely used for the below-listed and other related purposes.

The following are examples of the wide range of indirect-funding applications:

- Personnel costs, including for the Principal Investigator and Co-Investigator (kenkyū-buntansha).
- Hiring technicians to operate and maintain joint-use facilities, building joint-use facilities.
- Facility costs (e.g., installation, maintenance)
- Equipment costs (e.g., purchase, operation)
- Library costs (e.g., set up, maintenance, operation)
- Consumable supplies for joint-use copy machines, printers, etc.
- Research reporting cost
- Costs incurred in administrating competitive funding
- Application and legal fees related to patents
12. May the research plan be changed?

Researchers are free to adjust their research plans without obtaining authorization in following cases.

**Changing the content of expense items (up to 50% of total funding)**

While maintaining to total amount of the project budget, expense items (e.g., materials, travel, wages, remunerations and others) may be adjusted up to 50%. However, projects with a budget of ¥6 million or less may adjust expense items up to ¥3 million. Application may be made for authorization to adjust higher percentages of expense items.

*With grants under the multi-year Fund, adjustments to direct-funding items are made across the entire period of the project.*

**Adjusting the following items on the grant-disbursement application form**

The following items may be adjusted: assignment of roles among the project members, funding-allocation by researcher, change in amount of allocations, research plan and method, and expense items.

*Research work is of a nature that adjustments are apt to be needed as it progresses. How the above items are adjusted is left to the discretion of the researchers and the research institution; however, appropriate judgment should be exercised in making adjustments effectively from viewpoint of pursuing the research objectives.*
A request for authorization needs to be made via the research institution when the following project adjustments are desired.

Large adjustment to expense items
When the adjusted amount exceeds 50% of the total expense items or is over ¥3 million, authorization must be requested.

*With grants under the multi-year Fund, adjustments to direct-funding items are made across the entire period of the project.

Adding or deleting co-investigators (kenkyū-buntansha)
Processing is needed when co-investigators, who are the grantees, are added or deleted. For example, it is needed when within the same project a co-investigator (kenkyū-buntansha) is changed to a co-investigator (renkei-kenkyūsha) [which deletes one of the co-investigators (kenkyū-buntansha)].

Research to be suspended for maternity leave and/or infant care
Kakenhi-funded research may be suspended for the purpose of childbearing (pre- and post-delivery) and infant care. In such cases, research is restarted upon restoration of the grant disbursement after the infant-nursing period has ended.

One example of processing with grants under the multi-year Fund: Processing to extend the length of a project in response to a period taken for maternity leave.

Funded research to continue after the Principal Investigator has changed his/her affiliated research institution
If an application is filed, this adjustment may be approved; however, the funds may not be transferred to a research institution that is not authorized to receive kakenhi grants.
If the principal investigator is no longer able to continue executing the project, processing to terminate it must be carried out. (Principal investigators cannot be changed.)

The principal investigator bears full responsibility for the execution of the project. Given their instrumental role, a prohibition was placed on changing principal investigators in FY 2011.

Under the following research projects, however, there are cases when changing the principal investigator is approved.
- Under Scientific Research on Priority Areas: “Summarizing group research projects,” “Support group research projects,” and “Adjustment group research projects.”
- Under Scientific Research on Innovative Areas (Research in a proposed research area): “Summarizing group research projects” and “Support activities in 3 areas of bioscience.”
- Grant-in-Aid for JSPS Fellows: Research projects that receive foreign JSPS fellows.

If the research cannot be continued because the principal investigator has lost his eligibility to receive grants or other reasons, processing to terminate the project must be carried out.

When a project is terminated, processing must also be carried out to return the unspent grant funds.
13. Under what circumstances may the grant be carried over into the next fiscal year?

A portion of the grant may be carried over to the next fiscal year when accompanying a change in the research plan.

If based on reasons that could not be perceived at the time it was decided to disburse the grant, the research cannot be completed within the scheduled period, a request may be made to carry over grant funds and use them in the following fiscal year.

In some cases, both direct and indirect funding or just direct funding may be carried over from the last year of the scheduled research period.

Examples

- When continuing the research became difficult due to an earthquake, tidal wave, flood or other natural calamity.

- When a scheduled international symposium had to be postponed to the next fiscal year due to the cancellation of a key speaker.

- When additional time is needed due to an unforeseen change in the initial research plan caused by the obtaining of new knowledge or discovery through the subject research or other research.
Researchers submit only one application document to MEXT.

When the conditions for carrying over funds are met, this system should be used to effectively carry out the research and efficiently utilize the grant funds.

Information regarding application for carrying over grant funds can be found on the following websites:

MEXT: http://www.mext.go.jp/a_menu/shinkou/hojyo/1299857.htm
JSPS: http://www.jsps.go.jp/j-grantsinaid/16_rule/rule.html#kurikoshi

With grants under the multi-year Fund, funds may be used in the next fiscal year without advanced processing to carry them over.

- With grants under the multi-year Fund, each fiscal year’s grant usage is reported in a research-status report compiled at the end of the fiscal year.

- Advanced processing is required to extend the period of grant-supported projects.
14. How is the reporting of research performance and results conducted?

Researchers are obligated to submit an annual progress report and a research-results report on the results obtained by the project.

**Progress Report**

- For single-year grants, a progress report (research-progress report and grant-expenditure report) is to be submitted at the end of each fiscal year or at the time a project ends if terminated in midstream.

- With grants under the multi-year Fund, a research-progress report is to be submitted for the entire project duration when the grant-support period ends. A research-status report is also to be submitted at the end of each fiscal year.

**Research-results Report**

- At the end of the research period, a research-results report is to be submitted in the prescribed format via email.

- When the researchers themselves announce the research results, they are to acknowledge that the research was carried out with the support of a Grant-in-Aid for Scientific Research, and report such to MEXT and JSPS using the prescribed format. (The same applies when patents are obtained.)

**Annual research-progress reports, research-status reports, and research-results reports are given public access via the KAKEN Database of the National Institute of Informatics.**

*See: http://kaken.nii.ac.jp*
Grants-in-Aid are not disbursed to researchers who have not submitted a research-results report.

When a research-results report is not submitted by the deadline, even if the next fiscal year’s project (including project continuation) has been approved, the Notice of Scheduled Grant Amount (the notice of provisional decision) or the disbursal of the grant funds will be withheld. Then, when the report is submitted, the grant-supported research cannot be implemented until the notice of provisional decision is issued.

If the research-results report is not submitted within one year, the researcher will be required to return the disbursed grant funds.

Other: The handling of unsubmitted research-results reports is stipulated in the Terms and Conditions and other guidelines.

Research-results reports play a vital role in informing a wide swath of the public of the results achieved by Grant-in-Aid funded research. As they disseminate the results of such research into society, it is imperative that these reports be submitted. It is the public who provides the source of Grants-in-Aid through their taxes.
15. How should the research results be announced?

When announcing their research results, researchers are obligated to indicate that the research was carried out with a Grant-in-Aid for Scientific Research.

The following is an example of an acknowledgement format:

“This work was supported by a *kakenhi* Grant-in-Aid for Scientific Research (8-digit grant number) from Japan Society for the Promotion of Science.”

Grant Categories:

- 科研費 (Grant-in-Aid for Scientific Research (KAKENHI))
- 特別推進研究 (Grant-in-Aid for Specially Promoted Research)
- 特定領域研究 (Grant-in-Aid for Scientific Research on Priority Areas)
- 新学術領域研究 (Grant-in-Aid for Scientific Research on Innovative Areas)
- 基盤研究 (S・A・B・C) (Grant-in-Aid for Scientific Research (S) or (A) or (B) or (C))
- 萌芽研究 (Grant-in-Aid for Exploratory Research)
- 挑戦的萌芽研究 (Grant-in-Aid for Challenging Exploratory Research)
- 若手研究 (S・A・B・スタートアップ) (Grant-in-Aid for Young Scientists (S) or (A) or (B) or (Start-up))
- 研究活動スタート支援 (Grant-in-Aid for Research Activity Start-up)
- 特別研究促進費 (Grant-in-Aid for Special Purposes)
- 研究成果公開促進費 (Grant-in-Aid for Publication of Scientific Research Results)
- 特別研究員奨励費 (Grant-in-Aid for JSPS Fellows)
- 学術創成研究費 (Grant-in-Aid for Creative Scientific Research)

文部科学省 The Ministry of Education, Culture, Sports, Science and Technology (MEXT)
日本学術振興会 Japan Society for the Promotion of Science (JSPS)

When giving acknowledgements, it is not necessary to distinguish between single-year grants and multi-year Fund grants.

When the research results are reported in a newspaper, magazine or other publication, a copy of the article should be sent to MEXT and JSPS.
16. How are in-progress evaluations conducted?

During the grant period, a research-progress self-evaluation and a research-progress evaluation are to be conducted, and after them, a research-progress (verification) evaluation and follow-up evaluation are to be carried out.

From FY 2011, research-progress self-evaluations are required to be conducted after the end of each fiscal year by the researchers of all grant-supported projects. Their content is released to the public over the Grants-in-Aid KAKEN Database.

*The self-evaluation report is discontinued from FY 2011. However, projects whose third year is in FY 2010 are required to submit the report.

*KAKENHI Database (KAKEN): http://kaken.nii.ac.jp

The research-progress evaluation is conducted the year before the last year of projects under the grant categories Specially Promoted Research, Scientific Research (S), Grant-in-Aid for Young Scientists (S), and Creative Scientific Research. This evaluation involves a document review and hearing. Projects under these categories are given a research-progress (verification) evaluation by documents review in the fiscal year following their conclusion.

*For projects of a 3-year duration, the research-progress evaluation is conducted in the last year.
A follow-up evaluation is conducted through a document review after five years have passed from the end of projects under the category Specially Promoted Research.

*With projects under the categories Scientific Research on Priority Areas and Scientific Research on Innovative Areas, mid-term and post-project evaluations are carried out the same as in previous years.
17. What happens if the rules are broken?

If the grant rules are not properly followed in using the funds, penalties may be levied including the stoppage or return of grant funds and the loss or restriction of grant application privileges.

Case of grant being awarded based on false or inaccurate statements

- Return the entire amount of the grant disbursed

- 5-year loss of grant-application eligibility for both grantee and accomplices

*Grant disbursement stopped on other ongoing projects. The Co-Investigator (kenkyū-buntansha) no longer receives a portion of the grant. Eligibility to apply for other competitive funding also suspended. (These penalties apply in the following case as well.)

Case of misuse of the grant funds

- Return the subject portion of the grant funds

- For both the researcher who misused the funds and accomplices, 2-5 year loss of grant-application eligibility

- For other cooperating researchers, 1-year suspension of eligibility to apply for new grants
Case of fabrication, plagiarization or other misconduct

- Return part or all of the disbursed grant funds

- 1-10 year loss of grant-application eligibility for researchers(s) committing the misconduct and researcher(s) responsible for the subject part of the research paper(s).

Improper receipt and/or use of grants and misconduct in implementation of funded research undermines public trust in the entire scientific research community. It is vital for researchers using publicly funded grants to exercise proper ethics in conducting their activities.
Actual cases of penalties for rule violations

Case of grant being awarded based on false or inaccurate statements

-Improper receipt of grant due to falsified application filing (FY 1996-2003)

- Amount of funds returned: ¥191.9 million
- Grant-application suspension: 5 years

Case of misuse of the grant funds

-In the accounting for grant funds used in overseas travel, expenses for personal travel were included with those for carrying out the research objective. (FY 2004)

- Amount of funds returned: ¥570,000
- Grant-application suspension: 5 years

-Remunerations were paid for nonexistent work and the money placed in a pool managed by the researcher himself. (FY 2005-2006)

- Amount of funds returned: ¥780,000
- Grant-application suspension: 4 years

-A vendor was instructed to carry out transactions for which invoices were prepared for items different from those actually purchased, and the grant funds received from the university were used to pay them. (FY 2003-2007)

- Amount of funds returned: ¥7.75 million
- Grant-application suspension: 4 years
Funds subjected to improper accounting procedures, irrespective of whether used in the research activities or not, are in violation of the rules.

In order to prevent the misuse of grant funds illustrated by these cases, research institutions are required to establish and operate effective financial management and auditing systems based on the Guidelines on the Management and Audit of Public Research Funds at Research Institutions (Implementation Standards).

Misuse and misconduct are not only subject to stoppage and return of the grant and loss or restriction of grant-application privileges, but may also be subject to criminal prosecution. Strict penalties may also be imposed by the research institution.
18. Are there any other rules?

For more details regarding the *kakenhi* rules for application, evaluation and utilization, please see the websites of the Grants-in-Aid Program.

MEXT: http://www.mext.go.jp/a_menu/shinkou/hojyo/main5_a5.htm

In the Terms and Conditions for Single-year and Multi-year Grants, which provide grant-usage rules, the following is stipulated: “If anything is unclear (such as pertaining to the rules governing the below-listed aspects), you should ask your research institution, which may inquire of MEXT or JSPS.”

- Terminating grant projects
- Loss of qualification to apply for grants
- Earned interest and income
**Kakenhi Information Sites**

Both MEXT and JSPS are working proactively to disseminate information on the Grants-in-Aid Program. Please visit the following websites.

Various information on the *Kakenhi* Program may be found on its websites listed below.

**MEXT**

http://www.mext.go.jp/a_menu/shinkou/hojyo/main5_a5.htm

Wide range of information on the *Kakenhi* Program, including an introduction to *Kakenhi*-supported research and a description of the Scientific Research on Priority Areas and Scientific Research on Innovative Areas grant categories.

**JSPS**


**Kakenhi News**

Topics in this quarterly publication include research results recently obtained through *kakenhi*-supported research.
Frontline Scientific Research Projects Advanced in JAPAN

(Includes the titles of newly selected projects under mainly the categories Specially Promoted Research and Scientific Research (S) along with the names of their principal investigators and summary of their research content.)

KAKENHI ESSAY SERIES

Researchers’ views and expectations regarding the Grants-in-Aid Program.

HIRAMEKI ／ TOKIMEKI SCIENCE
(Welcome to a University Research Lab – Science that Inspires and Inspirits)

Introduction to fruits of Grants-in-Aid research made easy for elementary and secondary school students through lectures, experiments and hands-on experiences.
Inquiries:

Scientific Research Aid Division, Research Promotion Bureau, Ministry of Education, Culture, Sports, Science & Technology
3-2-2 Kasumigaseki, Chiyoda-ku, Tokyo 100-8959
Tel: +81-3-5253-4111(Reception)
URL: http://www.mext.go.jp/a_menu/shinkou/hojyo/main5_a5.htm

Research Aid Division I·II, Research Program Department, Japan Society for the Promotion of Science
8 Ichibancho, Chiyodaku-ku, Tokyo 102-8472
Tel: +81-3-3263-4682
URL: http://www.jsps.go.jp/j-grantsinaid/index.html