

## **FY2016 Procedures for Preparing and Entering a Proposal for Grant-in-Aid for “Scientific Research (S)” (New)**

Applicants for KAKENHI should fill in this proposal for grant-in-aid, giving details of the research project, based on the Application Procedures, and submit it to the Independent Administrative Legal Entity Japan Society for the Promotion of Science (hereinafter called “JSPS”) prior to application. This proposal for grant-in-aid is used as **screening material** at the **JSPS Scientific Research Grant Committee**.

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

When the application is approved as a result of the screening at the Scientific Research Grant Committee, a notice concerning the informal decision on funding is issued. The application will be submitted based on the notice. A KAKENHI will be provided if the research plan is deemed appropriate.

### Remarks

- ※ **This proposal for grant-in-aid is to be used when applying for “Scientific Research (S)”, “New Application” (including an application for a grant for the fiscal year before the final fiscal year of a research plan)”.**
- ※ **When preparing the proposal for grant-in-aid, the Principal Investigator should make the preparations in a responsible way, in accordance with the rules set forth in the Application Procedures. Moreover, please refer to the Application Procedures for a definition of the Principal Investigator, the Co-Investigator (*kenkyū-buntansha*), the Co-Investigator (*renkei-kenkyūsha*) and the Research Collaborator.**
- ※ **No modifications can be made to the prescribed form.**
- ※ **Proposals for grant-in-aid prepared in English will be accepted.**

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

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

by the research institution to which they belong, and directly enter their data.

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

For procedures for preparing and entering application information (to be entered in the website), please refer to the “FY2016 Procedures for Preparing and Entering Application Information (to be entered in the website) (“Scientific Research (S/A/B/C)”, “Challenging Exploratory Research”, “Grant-in-Aid for Young Scientists (A/B)”)

(To be entered in the website)

1. New or continued
2. Application for a Grant for the Fiscal Year before the Final Fiscal Year of a Research Plan
3. Item Number
4. Screening Sub-panel Number
5. Keywords from Keyword List, Other Keywords
6. Name of the Principal Investigator
7. Position, Academic Unit, and Research Institution of the Principal Investigator
8. Title of Proposed Project
9. Budget of Proposed Project
10. Wish for Disclosure of Screening Results
11. Contact Information of the Principal Investigator
12. Project Members

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

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

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

### **1. Overall Research Plan**

When preparing the Overall Research Plan, the instructions given below and the instructions given in each section should be observed. Characters and symbols in 11-point font size or larger should be used for (1), (2), (3), (4) and (5) below.

In addition, please take note that the following research projects are not eligible.

- ① Research projects which merely aim at purchasing ready-made research equipment.

- ② Research projects which aim at producing large-size research equipment and similar things which should be funded by other budgets.
- ③ Research projects which directly aim at developing and selling goods and services (including market trend surveys on the development and sale of goods and services).
- ④ Funded research which is carried out as commercial business.
- ⑤ Research projects with a budget of less than 100,000 yen in any of the fiscal years of the research period

Moreover, regarding the research category of the current application, if the overall research plan falls under the concept “unreasonable reduplication” as shown in the “Guidelines on the Proper Implementation of Competitive Funding” (cf. procedures for application), it is likely to be judged to be “unreasonable reduplication” in the stage of the screening. Therefore, when preparing the Proposal for Grant-in-Aid, the applicant should take this into account.

**(1) The section “Purpose of the Research”, “Research Plan and Methods”, “Research Funding Received and Achievements”, and “Rationality and Justification of the Budget for Proposed Project”**

They should be completed in accordance with the instructions given in the proposal for grant-in-aid.

**(2) The section “State of Preparations of the Research Plan and Methods to Disseminate the Research Results to Society and Citizens”**

It should be completed in accordance with the instructions given in the proposal for grant-in-aid.

Moreover, the researchers should explain the research achievements in an easily comprehensible way, since KAKENHI are funded by the tax of citizens. Therefore, they should state the way the research achievements will be disseminated to society and members of the public (e.g. creation of a website, preparation of pamphlets to publicize the research achievements, participation in open events, or planned publication through the mass media).

**(3) The section “Items to Be Entered in the Case of Application for a Grant for the Fiscal Year before the Final Fiscal Year of a Research Plan”**

If the applicant is making a new “application for the fiscal year before the final fiscal year of a research plan” (cf. procedures for application), he or she should state the fact, in accordance with the instructions given in the proposal for grant-in-aid.

**(4) The section “Connection between the Research Plan and the Research Project which received a Research Progress Assessment”**

If the Principal Investigator of “Specially Promoted Research”, “Scientific Research (S)”, or “Grant-in-Aid for Young Scientists (S)” received a research progress assessment in FY2014 or in FY2015, he or she should describe it in this section, in accordance with the instructions given in the

proposal for grant-in-aid.

**(5) The section “Protection of Human Rights and Compliance with the Laws and Regulations”**

The applicant should describe the measures and action that he or she will take, if his/her research involves compliance with the related laws and regulations, such as research requiring the consent and the cooperation of the other party when implementing the research plan, research requiring consideration for the handling of personal information and research requiring efforts regarding bioethics and safety measures.

This applies to surveys, research, experiments which require an approval procedure in an ethics committee inside and outside the research institution, such as for example questionnaire surveys in which personal information is involved, interview surveys, the use of provided samples, analysis study of the human genome, recombinant DNA experiments, experiments on animals, etc. Please indicate where this is not applicable.

**(6) The section “Major Equipment Currently Used”**

List the machines and equipment currently available for the research project.

State the available time per week and other explanations in the remarks section, if the facilities are to be shared or jointly used in any other research project.

**(7) In the section “Statement of Costs for Equipment”** the applicant should enter the items by fiscal year and give the total cost, taking into account the following.

If the applicant is purchasing many books and materials, he or she should enter details, such as “books relating to politics during the Middle Ages in the West”, in such wording that the contents of the books and materials becomes clear. For machines and tools, not only the type but also the breakdown of each set should be stated.

**(8) The applicant should fill in the section “Statement of Costs for Consumables and Other Costs”,** taking into account the following.

- 1) The applicant should itemize the cost of consumables, filling in the name of the item, such as chemicals, test animals and scientific glassware.
- 2) The applicant should divide travel expenses into domestic and overseas travel expenses and itemize them for each item, such as overseas/domestic travel expenses of the Principal Investigator, Co-Investigator(s) (*kenkyū-buntansha*), Co-Investigator(s) (*renkei-kenkyūsha*), and Research Collaborator(s) (e.g. collection of materials, various surveys, research meetings, and the publication of research achievements). He or she should itemize the local transportation expenses, accommodation fees and daily allowance for overseas and domestic travel.
- 3) The applicant should itemize personnel expenditure and remuneration, such as honoraria,

compensation, wages and salaries to Research Collaborator(s) (postdoctoral researchers, research assistants (RA), researchers belonging to overseas research institutions, and others) (e.g. people engaged in organizing materials, assisting in experiments, performing translation or proofreading, providing technical knowledge, distributing and collecting questionnaires and collecting information materials for research), and payment to temporary staff agencies.

(Example: Organizing materials: [breakdown: X (number of people) × Y (number of months)] XXXX yen)

- 4) The applicant should itemize costs other than the above-mentioned for conducting the research (e.g. the costs for printing, photocopying, developing/printing, correspondence (including stamps and phone calls), transport, renting or leasing the research facilities (only where the grant-aided project cannot be conducted in the facilities of the research institution), meetings (rental of the venue and meals (excluding alcohol)), equipment rental (e.g. computers, automobiles, experimental equipment), equipment repairs, transportation other than travel expenses, presentation of the research achievements (fees for contributing to the publications of academic societies, website creation, preparation of pamphlets to publicize the research achievements, costs of PR activities disseminating research achievements to the general public, and other matters), experiment waste disposal cost).

## 2. Statement of the Researcher

The Statement of the Researcher should be prepared on a separate sheet of paper for the Principal Investigator and the Co-Investigator (*kenkyū-buntansha*) (in the order as mentioned in the section Project Members).

Moreover, since Scientific Research (S) aims at research plans coordinated by one or relatively few researchers, the statement should also be prepared for Co-Investigators (*renkei-kenkyūsha*) who participate as project members, if the need arises.

### **(1) The section “Date of Birth (Age)”**

The applicant should enter his/her age as of April 1, 2016 between brackets after his/her date of birth.

### **(2) The section “Position, Academic Unit and Research Institution”**

The applicant should enter his/her position, academic unit and research institution at the time of the preparation of the proposal for grant-in-aid.

### **(3) The section “Recent Research Activities”**

The applicant should enter them in accordance with the instructions given in the proposal for grant-in-aid. (Pages cannot be added.) Moreover, if he or she owns intellectual property rights, including industrial property rights, he or she should state them (e.g. patent application number).

#### **(4) The section “Application for Research Funding, the Current State of Funding and Effort”**

The applicant should enter the state of respectively “(1) research funding applied for”, “(2) research funding to be provided” and “(3) other activities” at the time of application by the Principal Investigator and Co-Investigator (*kenkyu-buntansha*), taking into account the following points.

- In the section “(1) research funding applied for” and “(2) research funding to be provided”, the applicant should not only fill in KAKENHI but also other competitive funding systems.
- Distinguish between sources of research funding, if there is more than one.
- The applicant should include research funding that is competitively delivered within the research institution to which he or she belongs in “(1) research funding applied for” or “(2) research funding to be provided”.
- If the applicant is participating in project research conducted in line with a specific purpose (mission) of the research institution to which he or she belongs, he or she should also enter the research funding that is delivered in the sections “(1) research funding applied for” and “(2) research funding to be provided”.

Moreover, if the research funding that is delivered to each individual is not clear, the applicant should make a statement to this effect in the section “Differences in Details of Research and Reasons for Additional Application for a Grant for the Current Research Project”.

- The basic funding that is uniformly delivered within the research institution for conducting the research activities as a job duty does not need to be included in “(1) research funding applied for” or “(2) research funding to be provided”. The effort for the research activities using such funding should be entered in “(3) other activities”.

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

- If the Co-Investigator (*kenkyū-buntansha*) is a Fellow of the Japan Society for the Promotion of Science (JSPS Research Fellow) (SPD, PD, RPD) and is scheduled to receive a Grant-in-Aid for JSPS Fellows in FY2016, he or she should enter this in “(2) Research funding to be provided”. Moreover, the grant-in-aid that is paid monthly by JSPS (research implementation costs) should not be entered.

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

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

- (Example 1) Screening division “General” in “Scientific Research” (C) with a research period from FY2015 to FY2018  
→ Scientific Research (C) (General) (FY2015 to FY2018)
- (Example 2) “Challenging Exploratory Research” with a research period from FY2016 to FY2018  
→ Challenging Exploratory research (FY2016to FY2018)
- (Example 3) Planned Research in “Grant-in-Aid for Scientific Research on Innovative Areas (Research in a proposed research area)” with a research period from FY2016 to FY2020  
→ Grant-in-Aid for Scientific Research on Innovative Areas (Research in a proposed research area) (Planned Research) (FY2016 to FY2020)
- (Example 4) Grant-in-Aid for JSPS Fellows with a research period from FY2015 to FY2017  
→ Grant-in-Aid for JSPS Fellows (FY2015 to FY2017) 15J12345

**2) “Title of Proposed Project (name of the Principal Investigator)”**

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

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

The applicant should enter “Principal Investigator”, if the role of the researcher in question is Principal Investigator, and “Co-Investigator (*kenkyū-buntansha*)”, if he or she is Co-Investigator (*kenkyū-buntansha*).

**4) “Budget for Proposed Project for FY2016 (throughout for the entire period) (in thousands of yen)”**

The applicant should fill in the amount of the direct cost of the research expenditure that he or she will receive and use himself/herself in FY2016 in the top of the page. (Items under application is the applied amount.) He or she should complete the total amount (the expected amount) that he or she will use himself/herself altogether during the whole research period in the bottom of the page between brackets.

Moreover, in case the applicant is the Co-Investigator (*kenkyū-buntansha*), he or she should fill in the amount of the share of expenses (the expected amount) he or she will receive and use himself/herself in FY2016 in the top of the page. He or she should complete the total amount of the share of expenses (the expected amount) he or she will use himself/herself altogether during the whole research period in the bottom of the page between brackets. (In case no share of expenses will be allotted, he or she should fill in “0” in the respective sections.)

Moreover, in case the applicant is the Principal Investigator of the KAKENHI, he or she should

complete the total amount of the direct cost for the whole research period in the section “Differences in details of research and reasons for additional application for a grant for the current research project”.

#### **5) “Effort”**

The applicant should enter the time allocation rate (%) of time necessary for the implementation of each of the research activities with the entire working time relating to “(1) research funding applied for”, “(2) research funding to be granted” and “(3) other activities” stated in the section as 100%. The “entire working time” does not mean time spent only on research activities, but the actual total working time, including educational activities and other activities.

Moreover, for KAKENHI, the applicant should put a dash (“-”) when stating a research category for which duplicate applications are permitted but not both of them are selected at the same time (e.g. Specially Promoted Research).

Moreover, in case he or she is conducting research using a competitive funding system, he or she should without fail complete the “effort” for the research activity in question. In case the research project under application is adopted, he or she will at that point in time determine the “effort” again, and register it in e-Rad.

#### **6) “Differences in Details of Research and Reasons for Additional Application for a Grant for the Current Research Project”**

The applicant should clearly enter the differences in the details of research between the research supported by a grant under application or to be approved, on the one hand, and the present research project, on the other hand, and the reasons for the application for a grant for the present research project, in addition to any other research funding. Highlight only key points when entering this information.

Moreover, in case the applicant is the Principal Investigator of the KAKENHI, he or she should complete the total amount of the direct cost for the whole research period.