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

FY2017

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

July 1, 2017

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

The current round of call for proposals lists the necessary procedures and other matters for the Details of the Call for Proposals or Application of the Grants-in-Aid for Scientific Research-KAKENHI- for FY2017 “Fund for the Promotion of Joint International Research (Fostering Joint International Research)”

It consists of:

I Outline of the Grants-in-Aid for Scientific Research-KAKENHI-
II Details of the Call for Proposals
III Instructions & Procedures for those Intending to Apply
IV Instructions & Procedures for those Who Have Already Been Accepted
V Instructions & Procedures for Staff of the Research Institution
VI Related Points of Importance

Among these, are listed in the “II Details of the Call for Proposals”: Eligible Candidates for the Research Categories for which a Call for Proposals is Organized; Total budget provided and Research period and other matters; and Schedule from Application to Receipt of Funding and other issues.

In addition, in “III Instructions & Procedures for those Intending to Apply”, “IV Instructions & Procedures for those Who Have Already Been Accepted” and “V Instructions & Procedures for Staff of the Research Institution” are listed: “Conditions for Applying”, “Necessary Procedures”, and other matters, for those who are eligible to apply. Individuals to whom it may concern are requested to make sure that they verify the relevant parts of the text.

Grants-in-Aid for Scientific Research consist of a competitive funding system intended to provide financial support for creative and pioneering research conducted by individual researchers. Therefore, the content of the Proposal for Grant-in-Aid made by applying researchers must be original.

In preparing Proposal for Grant-in-Aid, plagiarism and/or misappropriation of the research contents of others are not permitted, and applicants must comply with research ethics.

Moreover, the major changes for FY2017 are as follows.
<The major changes for FY2017>

① Researchers under age 36 received their doctorates five or more years ago may apply for this grant. (Page 15)

From FY 2017, the applicant must have been selected for a Grant-in-Aid for Scientific Research (excluding “Overseas Academic Research”) or a Grant-in-Aid for Young Scientists as of 1 April 2017. At the time of this grant application, s/he must be a Principal Investigator in that currently implemented Grant-in-Aid project, and be of an age between 36 and 45 years old (born between 2 April 1971 and 1 April 1981). However, researchers who received their doctorates five or more years ago (on or before April 1, 2012) may apply even if they are under 36 years of age.

② Some changes are made to the content of the proposal for Grant-in-Aid. (See the supplementary volume “Application Procedures for Grants-in-Aid for Scientific Research - KAKENHI - for FY2017 Fund for the Promotion of Joint International Research (Fostering Joint International Research) (Application documents: Forms and Guidelines)”

As following main changes have been made to the columns of the application form:
- “Research Proposal (Outline)” has been eliminated.
- The column frame-lines on the pages of Form S-1-24 have been eliminated.
- The column “Role of Overseas Joint Researchers and Their Research Achievements” has been enlarged to one page. (Page 3)
- If equipment will be purchased for use in Japan, the need for such usage in the international joint research is to be described in the column “Rationality and Justification of the Research Costs.” (Page 8)

③ More flexible handling of “Cost of replacement staff” made possible. (Page 30)

Under the FY 2016 application guidelines, only travel expenses, personnel expenditures and remunerations, and miscellaneous costs can be included under “Cost of replacement staff.” From FY 2017, if replacement staff cannot be secured, the cost of equipment and consumables needed by Principal Investigators to carry out their duties while at the counterpart institution may be included.

④ Concerning submission of “Checklist Pertaining to the Current Status” based on the “Guidelines for Responding to Misconduct in Research” (please refer to p. 38)

From FY 2017 onwards, research institutions applying for KAKENHI grants will be
required to submit a “Checklist Pertaining to the Current Status” based on relevant guidelines. Please note that without this submission, applications from researchers belonging to said research institutions will not be accepted.
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The application forms (Proposal for Grant-in-Aid) and other application materials are contained in separate files. Please refer to “Supplementary Volume ‘Application Procedures for Grants-in-Aid for Scientific Research - KAKENHI - for FY2017 Fund for the Promotion of Joint International Research (Fostering Joint International Research) (Application documents: Forms and Guidelines)”.

* The application forms (Proposal for Grant-in-Aid) and other application materials can be downloaded from the JSPS website (cf. URL below).
  (URL) http://www.jsps.go.jp/j-grantsinaid/index.html

* This is the English edition translated from the Japanese edition of the “Application Procedures for Grants-in-aid for Scientific Research-KAKENHI-
I. Outline of the Grants-in-Aid for Scientific Research - KAKENHI -

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

Grants-in-Aid for Scientific Research are competitive funds that are intended to significantly develop all scientific research (research based on the free ideas of the researcher), from basic to applied research in all fields, ranging from the humanities, the social sciences and the natural sciences. The grants provide financial support for creative and pioneering research projects that will become the foundation of social development. The research projects are selected using a peer-review screening process (screening by multiple researchers whose field of specialization is close to that of the applicant).

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

- Research advanced using Grants-in-Aid for Scientific Research
- Scientific research based on researcher’s creative ideas
  - curiosity-driven research
- R&D on policy imperatives
  - mission-oriented research
- Openly recruited research
  - for purposes set independently by each ministry
- Government-led national projects
- Strategically advanced R&D
  - by research organizations
## 2. Research Categories

Depending on the content and the scale of the research, different research categories have been established.

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<td>Grants-in-Aid for Scientific Research</td>
<td></td>
</tr>
<tr>
<td>Grant-in-Aid for Specially Promoted Research</td>
<td>Highly regarded research in the international arena conducted by one researcher or a relatively small group of researchers and is likely to yield highly acclaimed research achievements. (The period is three to five years. The upper limit of the total budget provided is generally set around 500 million yen per research project, though no exact budget range has been established.)</td>
</tr>
<tr>
<td>Grant-in-Aid for Scientific Research on Innovative Areas</td>
<td>(Research in a proposed research area) New research areas proposed by a group of diverse researchers which, through efforts for collective research, scholarly training, shared use of equipment, etc., will develop and lead to the upgrading and enhancement of scientific research in Japan. (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>Grant-in-Aid for Scientific Research</td>
<td>(S): Creative/pioneering research conducted by one researcher or a relatively small group of researchers (The period is five years. The budget ranges from 50 to around 200 million yen per project.) (A), (B), (C): Creative/pioneering research conducted by one researcher or jointly by multiple researchers (The period is three to five years.) Classification of A, B and C depends on the total budget (A) From 20 million to 50 million yen (B) From 5 million yen to 20 million yen (C) 5 million yen or less</td>
</tr>
<tr>
<td>Grant-in-Aid for 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 (Exploratory) 2-3 years 5 million or less</td>
</tr>
<tr>
<td>Grant-in-Aid for Young Scientists</td>
<td>(A), (B): Research conducted by one researcher aged 39 or less (The period is two to four years.) Classification of A and B depends on the total budget (A) from 5 million yen to 30 million yen (B) 5 million yen or less</td>
</tr>
<tr>
<td>Grant-in-Aid for Research Activity Start-up</td>
<td>Research conducted by one researcher who has just been employed by his/her research institution or by one researcher who has returned from his/her childcare or other kinds of leave (The period is up to two years. The budget is up to 1.5 million per fiscal year.)</td>
</tr>
<tr>
<td>Grant-in-Aid for Encouragement of Scientists</td>
<td>Research conducted 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.)</td>
</tr>
<tr>
<td>Grant-in-Aid for Special Purposes</td>
<td>Funding of urgent and important research projects.</td>
</tr>
<tr>
<td>Grant-in-Aid for Publication of Scientific Research Results</td>
<td>Funding for the publication and/or international dissemination of research achievements of high academic values made by academic associations and other organizations</td>
</tr>
<tr>
<td>Publication of Research Results</td>
<td>Funding for efforts of academic societies and other scholarly organizations to further enhance international dissemination of information for the purpose of international academic exchange.</td>
</tr>
<tr>
<td>Enhancement of International Dissemination of Information</td>
<td>Funding for academic publications authored by an individual or a group of researchers to publish academic research achievements</td>
</tr>
<tr>
<td>Databases</td>
<td>Funding for databases created by an individual or a group of researchers for public use</td>
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</table>
Grant-in-Aid for JSPS Fellows

Funding for research conducted by JSPS Fellows (including Foreign JSPS Fellows) (for a period of up to three years)

Fund for the Promotion of 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)
- Support for International Activities within Scientific Research on Innovative Areas (Set period of the Area, up to 15 million yen per year)
- 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.”

### 3. The Relationship between MEXT and JSPS

The Ministry of Education (currently, the Ministry of Education, Culture, Sports, Science and Technology) publicly recruited, screened applications and delivered grants in all of the research categories up to FY1998. From FY1999 on, these tasks were transferred to the Japan Society for the Promotion of Science (JSPS). Screening and funding are currently being conducted as indicated below.

Regarding the open call for applications under the “Fund for the Promotion of Joint International Research (Fostering Joint International Research)”: In FY 2015, the Ministry of Education, Culture, Sports, Science and Technology (MEXT) issued the grant application calls and the Japan Society for the Promotion of Science (JSPS) screened the applications and disbursed grants. From FY 2016, JSPS is carrying out all three functions: issuing calls, screening applications, and disbursing grants.

* As of July 2017

<table>
<thead>
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<th>Research category</th>
<th>Call for proposals, screening</th>
<th>Delivery of grants</th>
</tr>
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<tbody>
<tr>
<td>Scientific Research on Innovative Areas, Grant-in-Aid for Special Purposes, Fund for the Promotion of Joint International Research (International Group)</td>
<td>Main body in the preparation of the procedures for lodging applications and the location where the applications should be submitted.</td>
<td>JSPS</td>
</tr>
<tr>
<td>Specially Promoted Research, Scientific Research, Challenging Research(*), Grant-in-Aid for Young Scientists, Grant-in-Aid for Research Activity Start-up, Encouragement of Scientists, Grant-in-Aid for Publication of Scientific Research Results, Grant-in-Aid for JSPS Fellows, Fund for the Promotion of Joint International Research (Fostering Joint International Research, Returning Researcher Development Research), Generative Research Field</td>
<td>MEXT</td>
<td>JSPS</td>
</tr>
</tbody>
</table>
* “Challenging Exploratory Research” has been reviewed and from FY 2017 onwards a new category “Challenging Research (Pioneering/Exploratory)” has been established.

4. Rules Relating to KAKENHI

For “Fund for the Promotion of Joint International Research (Fostering Joint International Research),” KAKENHI (Multi-year Fund) will be funded. It is governed by the “Basic Policy on the Management of the KAKENHI (Multi-year Fund) (Adopted by the Minister of Education, Culture, Sports, Science and Technology),” Procedures on the Handling of JSPS Grants-in-Aid for Scientific Research (KAKENHI (Multi-year Fund)) (Rule No. 19, 2011) and others.

(1) Three types of rules for KAKENHI

There are three types of rules for KAKENHI, as follows:

1) Application rules: rules concerning the applications

2) Assessment rules: rules concerning the preliminary assessment (screening), the interim assessment, the ex-post assessment, and the research project progress assessment

3) Utilization rules: rules concerning the use of KAKENHI

Moreover, these three sets of rules apply as follows.

<table>
<thead>
<tr>
<th>Application rules</th>
<th>Assessment rules</th>
<th>Utilization rules</th>
</tr>
</thead>
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<td>KAKENHI (Multi-year Fund)</td>
<td>JSPS Procedures on the call for proposals</td>
<td>JSPS The “screening outline” for the Fund for the Promotion of Joint International Research (Fostering Joint International Research)</td>
</tr>
<tr>
<td>Fund for the Promotion of Joint International Research (Fostering Joint International Research)</td>
<td></td>
<td>JSPS For researchers: Funding conditions</td>
</tr>
<tr>
<td></td>
<td></td>
<td>For research institutions: Administrative work and other tasks concerning the use of Grants-in-Aid for Scientific Research (KAKENHI Fund for the Promotion of Joint International Research (Fostering Joint International Research)), to be performed by each research institution</td>
</tr>
</tbody>
</table>

(2) Appropriate use of KAKENHI

KAKENHI are funded by the tax of citizens and other sources, so please ensure that KAKENHI is used efficiently and effectively, for example through planning for the communal use of purchased items. Researchers receiving KAKENHI have a duty to comply with the related laws, regulations and utilization rules by researchers (subsidiary conditions or funding conditions), and also to use such grants appropriately. To facilitate the appropriate use of KAKENHI, research institutions to
which the researchers belong are responsible for the management of the KAKENHI. The Administrative work that each research institution is required to carry out (rules for use for institutions) is determined.

Among other things, the research institution has the duty to secure the appropriate use of KAKENHI, for example, by setting up a system for the management and audit of the budget, and, for the expenditure of expenses for goods, by properly implementing the purchase order of goods, inspection and management of delivered goods. In order to prevent fraudulent accounting through fictitious business transactions (so-called “azukekin”), it is important, in addition to appropriate inspection of delivered goods, to widely inform traders about the rules and to obtain the understanding and cooperation of traders in the prevention of this kind of fraudulent accounting. Research institutions need to strictly respond to traders who have been involved in fraudulent accounting through fictitious business transactions, for example by stopping doing business with such traders.

Researchers and persons in charge in the research institution should fully understand prior to the application that these rules will apply after the application is approved.

(3) Important points on the use of KAKENHI

For KAKENHI (Multi-year Fund), the research activity after the adoption of the grant will be handled as a single funded project throughout the whole research period. Therefore, it is possible to use the grant for paying costs in a fiscal year that is different from the fiscal year of receipt of the grant, if this happens within the research period. Moreover, if within the research period an amount of money remains unused by the end of each fiscal year, except for the final fiscal year, costs can be carried over to the next fiscal year, without researchers having to go through prior authorization procedures. The period of a funded project can be extended by one fiscal year by obtaining extension approval in its final fiscal year.

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

(4) The handling of a case in which the report on the research achievements has not been submitted

1) The report on the research achievements plays the important role of making the achievements of the research funded with a KAKENHI widely known to the citizens. It is an important tool in order to widely return the achievements of the research funded with a KAKENHI, which in turn has the tax of citizens and other sources as its resources, to society.

Therefore, researchers should submit the report on the research achievements at the end of the
research period. The content of the research will be widely disclosed to the public via the Database (KAKEN) of the National Institute of Informatics and other tools. Moreover, the research institution to which the researchers belong has to collect and submit the reports on the research achievements.

2) No further KAKENHI funding will be provided to researchers who, without a good reason, fail to submit a report on their research results at the end of the research period. In such cases, a decision may be made to cancel the researcher’s KAKENHI grant or to order him/her to return the funding already provided. The name and other information on the researcher’s current or previous research institution may also be made public.

Furthermore, if researchers have failed, without good reason, to submit the scheduled report on the research achievements, then implementation of other KAKENHI due to be implemented in the same fiscal year will be suspended. Therefore, it is the responsibility of the representative of the research institution to ensure that the report on the research achievements is submitted without fail.

(5) Treatment in case of infringement of related laws and regulations

When related laws and regulations, guidelines, etc. have been violated upon implementation of the research plan, or when the content entered in the application documents has been found to be false, the provision of KAKENHI may not be carried out or may be cancelled.

5. “Guidelines on the Proper Implementation of Competitive Funding” and Other Matters

The “Guidelines on the Proper Implementation of Competitive Funding” (agreement of the liaison meeting of related offices and ministries on competitive funding, dated September 9, 2005; amended October 17, 2012) agree on the rules in the field of competitive funding on the elimination of unreasonable reduplication and excessive concentration, fraudulent receiving, of grants, fraudulent use and research-related fraudulent acts in research papers, and other matters in the related offices and ministries.

During the implementation of the competitive funding, including KAKENHI, these matters will be dealt with appropriately, based on these Guidelines and other matters. Therefore, the applicant should consider carefully the following points.

(1) Eliminate Unreasonable Reduplication and Excessive Concentration

1) In order to avoid “Unreasonable Reduplication or Excessive Concentration” (*) of competitive funds, we may, to the extent necessary, share information on a part of the project description of the application between other divisions in charge of competitive funds, including other offices and ministries, independent administrative legal entities, etc., making use of the
Cross-ministerial Research and Development management system (e-Rad).

Therefore, in the case of an application for more than one competitive funding (including in the case of an application for more than one Research Categories for KAKENHI), and other matters, the applicant should be careful when preparing the Proposal for Grant-in-Aid so that, for example, he or she fills in the Title of the Proposed Project in a way that makes it clear that it does not entail unreasonable reduplication.

If unreasonable reduplication or excessive concentration is found, KAKENHI may not be delivered.

2) Concerning the completed information on the condition of applications and receiving of other Competitive Funding and other matters, including from other offices and ministries, when preparing the Proposal for Grant-in-Aid (name of Research Funds, Title of Proposed Project, Research period, Effort, etc.), if the stated information turns out to be different from the facts, the Research Project will not be adopted, the adoption will cancelled, or the allotted research budget will be reduced.
“Guidelines on the Proper Implementation of Competitive Funding” -Extract-
(Agreement of the Liaison Meeting of Related Offices and Ministries on Competitive Funding, Dated September 9, 2005 (Revision: October 17, 2012))

2. Eliminate Unreasonable Reduplication and Excessive Concentration
(1) Basic Policy of the Unreasonable Reduplication and Excessive Concentration

① In these guidelines, “Unreasonable Reduplication” is a situation in which more than one competitive funding is needlessly and repeatedly allotted to one and the same research project (i.e. the title and the content of the research to which competitive funding is being allotted; the same applies below) carried out by one and the same researcher. Either of the following cases fall under “Unreasonable Reduplication.”

○ Cases where applications have been made at the same time for more than one competitive funding for substantively the same research project (including research projects that overlap to a considerable degree; the same applies below), and where these research projects are redundantly adopted.

○ Cases where an application has been made again for substantively the same research project as another project that has already been adopted, and for which the allotment of competitive funding has already been completed.

○ Cases where there is a reduplication of the use of research funds among more than one research project.

○ Other cases corresponding to the cases mentioned above.

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

○ Cases where, in the light of the abilities of the researcher, etc. and the research methods, etc., excessive research funds are allotted.

○ Cases where, in comparison with the effort (the time allocation rate (%) of time necessary for the implementation of the research activities with the entire working time of researcher) that is being allotted to the research project in question, excessive research funds are allotted.

○ Cases where the purchase of unnecessarily expensive equipment is carried out.

○ Other cases corresponding to the cases mentioned above.

(2) Dealing with “Fraud, Waste and Abuse,” “Fraudulent Receipt” or “Fraudulent Acts”

○ “Fraud, Waste and Abuse,” “Fraudulent Receipt” and “Fraudulent Acts” refer to the following type of acts respectively.

  • “Fraud, Waste and Abuse of Grants”:
    Use of funds for other purposes, intentionally or by gross negligence, for example, by conducting fictitious business transactions (“azukekin”) with a trader through fictitious order placements, or by charging costs higher than actually needed for personnel, travel expenses, etc., or use of funds in violation of the content of the funding decision or the conditions it implies.

  • “Fraudulent Receipt”:
    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.

  • “Fraudulent Acts”:
    Fabrication, falsification and plagiarism of data, information or findings in a research paper or other published research results committed intentionally by researchers or by grossly neglecting their responsibility to observe basic precepts of research ethics.

1) No KAKENHI will be offered, for a fixed period of time, when a researcher or related party has committed a fraud, waste or abuse of KAKENHI, has committed a fraudulent
receipt of KAKENHI, or has committed a fraudulent act. Moreover, for research projects for
which it is established that a fraud, waste or abuse of grants, a fraudulent receipt of grants or
fraudulent acts has been committed, s/he may be required to return the given KAKENHI
completely or partially.

Moreover, an outline of the fraud, waste or abuse of KAKENHI, the fraudulent receipt of
KAKENHI, and/or the fraudulent acts in question of the researcher who falls in those
categories (containing an outline of the investigation by the research institution, the
names of the people involved, the name of the system, the institution they belong to, the
research project, the budget, the fiscal year of the research, the fraudulent content,
details of the measures taken, etc.) will be made public.

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

Note: This applies to those schemes newly starting a call for proposals in FY2017 (and onward) for
“competitive funding other than KAKENHI” as well. It also applies to those schemes that ended before
FY2016. Please refer to the website below for the schemes to which this specifically applies at present.
○ On the designation of the period during which no KAKENHI will be funded

“Fraud, Waste and Abuse” and “Fraudulent Receipt”

<table>
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<th>Extent of the fraud, waste and abuse</th>
<th>Period during which no KAKENHI shall be funded</th>
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<td>10 years</td>
</tr>
<tr>
<td></td>
<td>(1) Cases where it is judged that the impact on society is major and the level of maliciousness involved in the act is high</td>
<td>5 years</td>
</tr>
<tr>
<td></td>
<td>(2) Cases other than (1) and (3)</td>
<td>2 to 4 years</td>
</tr>
<tr>
<td></td>
<td>(3) Cases where it is judged that the impact on society is minor and the level of maliciousness involved in the act is low</td>
<td>1 year</td>
</tr>
<tr>
<td>II. Researchers who committed a fraud, waste or abuse and researchers who conspired in such fraudulent acts</td>
<td>2. Other than “1. Diversion of funds for personal gain”</td>
<td></td>
</tr>
<tr>
<td>III. Researchers who received a KAKENHI by deception or other fraudulent means and researchers who conspired in such fraudulent acts</td>
<td></td>
<td>5 years</td>
</tr>
<tr>
<td>IV. Researchers who were not directly involved in the fraud, waste and abuse, but who violated the duty of due care of a prudent administrator</td>
<td></td>
<td>Half of the period of restrictions on funding for researchers who committed fraudulent use (upper limit 2 years, lower limit 1 year, rounding off fractions)</td>
</tr>
</tbody>
</table>

Moreover, to the persons who fall under one of the descriptions below, a “strong warning” shall be issued:

1. Among the cases mentioned in point II above, researchers about whom it has been judged that the impact of their acts on society is minor, the level of maliciousness of their acts is low, and the amount of money related to the fraud, waste and abuse is small.

2. Among the cases mentioned in point IV above, researchers considered to have violated the duty of due care as a prudent administrator for the funded projects about which it has been judged that the impact of their acts on society is minor, and level of maliciousness of their acts is low.
“Fraudulent acts”

<table>
<thead>
<tr>
<th>Persons involved in the fraudulent acts</th>
<th>Degree of academic and social impact, level of maliciousness involved in the acts</th>
<th>Period of restriction</th>
</tr>
</thead>
<tbody>
<tr>
<td>(a) Particularly malicious persons in cases where, for example, the persons intended to commit fraudulent acts from the beginning of the research</td>
<td>Cases where it is judged that the impact on the progress of science in the field in question and the social impact are major, or the level of maliciousness involved in the acts is high</td>
<td>10 years</td>
</tr>
<tr>
<td>Authors responsible for the paper(s), etc. in question (responsible chief editors, lead authors or persons found to bear responsibilities equal to these persons)</td>
<td>Cases where it is judged that the impact on the progress of science in the field in question and the social impact are minor, or the level of maliciousness involved in the acts is low</td>
<td>5 to 7 years</td>
</tr>
<tr>
<td>Persons other than the authors responsible for the paper(s), etc. in question</td>
<td>Cases where it is judged that the impact on the progress of science in the field in question and the social impact are low, or the degree of severity of the acts is low</td>
<td>3 to 5 years</td>
</tr>
<tr>
<td>(b) Authors of papers, etc. related to the research in which fraudulent acts have been committed (except (a) above)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>(c) Persons who are not authors of paper(s), etc. related to the research in which fraudulent acts have been committed (except (a) above)</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Authors responsible for the paper(s), etc. (responsible chief editors, lead authors or persons found to bear responsibilities equal to these persons) related to the research in which fraudulent acts have been committed, but who were not directly involved in the fraudulent acts</td>
<td>Cases where it is judged that the impact on the progress of science in the field in question and the social impact are major, or the level of maliciousness involved in the acts is high</td>
<td>2 to 3 years</td>
</tr>
<tr>
<td></td>
<td>Cases where it is judged that the impact on the progress of science in the field in question and the social impact are low, or the degree of severity of the acts is low</td>
<td>1 to 2 years</td>
</tr>
</tbody>
</table>

Note: If there are circumstances that need to be taken into consideration individually, such as for example the withdrawal of paper(s), the appropriate period of restriction may, depending on the circumstances, be reduced.

2) A researcher who falls into these categories may be restricted in applying for or participating in other competitive funds, including those provided by other Government Offices and Ministries, as the information of the fraudulent case in question will be provided to the relevant offices (including independent administrative legal entities and other grant-allocating institutions) in charge of funding within such Offices and Ministries.

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

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

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

4) Research institutions are required to comply with the “Guidelines on the Management and Audit of Public Research Funds at Research Institutions (Implementation Standards) (revised in February 2014), Ordered by the Minister of Education, Culture, Sports, Science and Technology” and “Guidelines for Responding to Misconduct in Research (Adopted August 26, 2014 by the Minister of Education, Culture, Sports, Science and Technology).” Therefore, research institutions should pay adequate attention to these two sets of Guidelines when researchers implement their research activities.

○ “Guidelines on the Management and Audit of Public Research Funds at Research Institutions”
  Cf.URL http://www.mext.go.jp/a_menu/kansa/houkoku/1343904.htm

○ “Guidelines for Responding to Misconduct in Research”
  Cf.URL http://www.mext.go.jp/a_menu/jinzai/fusei/index.htm

(Note) Examples of recent “fraud, waste and abuse,” “fraudulent receipt” or “fraudulent acts”

○ Fraud, Waste and Abuse
  • Someone instructed a trader to complete a fictitious transaction, pretended to have purchased consumables, had KAKENHI expended by the university, and then had it managed as money deposited to the trader.
  • Someone instructed a trader to complete a fictitious transaction, had a false invoice issued on which the name of a good that is different from the good that had actually been purchased and delivered was stated, and then had KAKENHI expended by the university.
  • Someone had a work attendance sheet for work that was actually not carried out drawn up for a graduate student, charged the payment of remuneration, and then managed the money himself, as a pooled fund.
  • Someone stayed in a destination different from the scheduled travel plan, in order to have a meeting on collective research unrelated to the purpose of the research project, and then put the costs under travel expenses associated with overseas travel.

(Note) The expenditure of KAKENHI for fictitious and other transactions, like the ones mentioned in the examples, are all considered “fraud, waste and abuse,” even if the expenditure of KAKENHI was intended for the research project in question.

○ Fraudulent receipt
  • A researcher who was not eligible to apply or receive grants applied for a KAKENHI and for funding of it, and then fraudulently received the subsidy.

○ Fraudulent acts
  • Someone manipulated or forged experimental data or a chart in a research paper published as the achievements of research funded with a KAKENHI.
  • Someone translated an original English-language research paper without obtaining prior consent from the author(s), incorporated this translation into a book or report on the research achievements published as the achievements of research funded with a KAKENHI, and made it public as the research achievements of the research project in question, without clearly mentioning that it was being quoted.
On the transmission of Research Achievements obtained through KAKENHI

KAKENHI research achievements are given open access to other researchers and the public through the publication of research outlines and reports posted in the database of the Grants-in-Aid for Scientific Research (KAKEN) of the National Institute of Informatics.

In addition to this, with KAKENHI, it is made possible to directly use funds in order to fund outreach activities of the researcher to announce or spread information about the research achievements, such as the creation of a website or printing of pamphlets, etc. Therefore, we ask researchers to proactively pursue the spreading of research achievements obtained through the aid of KAKENHI to society and the public at large.

Moreover, JSPS is implementing the “HIRAMEKI ☆ TOKIMEKISCIENCE” program where the latest research achievements are introduced in an easy to understand fashion to elementary, junior high, and high school students, so please strive to ensure this as well.

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

(1) Acknowledgement of KAKENHI research achievements etc.

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. Furthermore, we ask that researchers always indicate that these research achievements were obtained as a result of KAKENHI in the Acknowledgment section of the paper. Especially important is to include “JSPS KAKENHI Grant Number JP8 digits” in the case of English or “JSPS 科研費 JP8桁の課題番号” in case of Japanese.

(Example)
【English】This work was supported by JSPS KAKENHI Grant Number JP16K45678.
【Japanese】本研究は JSPS 科研費 JP16K45678 の助成を受けたものです。

(2) Promotion of providing open access versions of papers written with the support of KAKENHI

Along with ICT advances over recent years, the use of Open Access by academic journals (etc.), which allows free access to scientific papers, is expanding globally. With this in mind and to the degree possible, researchers are asked to consider publishing their papers in KAKENHI-funded research within the open access sphere whenever possible.

【Reference 1: What is “Open Access”?】
In the case of articles in peer-reviewed Open-Access form, it is defined as: “free availability on the public Internet, permitting any users to read, download, copy, distribute, print, search, or link to the full texts of these articles, parse them for indexing, pass them as data to software, or use them for any other lawful purpose, without financial, legal, or technical barriers” *BOAI; Budapest Open Access Initiative (2002)

【Reference 2: Implementation of Open Access】
There are three main ways to carry out Open Access (①～③ below)

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① After a set period of time (embargo*), for example 6 months, republishing an article already published in a conventional subscription-based academic journal in an institutional repository** of the researcher’s research institute or publishing the latest manuscript on the researcher’s own website (self-archiving***), thus making the article available in open access format.

② Publication of the article on the website of a research community or a public organization, thus making it available in open access format.

③ Others: (The article’s author can bear the cost of the Article Processing Charge (APC), making the article available in open access.)

* “Embargo”
  The period from publication of an article in an academic journal until it can be published in its entirety on an online archiving system (repository).

** Institutional Repository
  An online archiving system created by a university or research institution for the use of conserving and transmitting intellectual products. Together with reforming a change in the distribution system of academic information by having the researchers publish their own articles, these repositories fulfill important roles, such as the transmission of research and education achievements of the research institution, PR for both the research institution and the researcher, guaranteeing the accountability of research and education activities towards society, and the long-term conservation of intellectual products.

***Self-archiving
  The publishing online (in general on institutional repositories) of articles, dissertations, or data that were previously published in academic journals, by those other than the publisher, (the researcher or research institution) in order to make them available in open access.
II. Details of the Call for Proposals

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

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

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

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

C) Applicant eligibility: The applicant must have been selected for a Grant-in-Aid for Scientific Research (excluding “Overseas Academic Research”) or a Grant-in-Aid for Young Scientists as of 1 April 2017. At the time of this grant application, s/he must be a Principal Investigator in that currently implemented Grant-in-Aid project, and be of an age between 36 and 45 years old (born between 2 April 1971 and 1 April 1981). However, researchers who received their doctorates five or more years ago (on or before April 1, 2012) may apply even if they are under 36 years of age.

D) Amount of grant: Up to ¥12 million to include costs for “Travel Expenses and Accommodation Fees”, “Research Funding” and “Cost of Replacement Staff”.

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

E) Period of overseas stay: A total of at least 6 months. In principle, the stay should be for a period of from 6 months to one year. Within the funding period of adopted projects, permission may be given to extend an overseas stay for longer than one year. During the overseas stay, visits back to Japan may be permitted as long as they do not impede the grantee’s research activities in the counterpart institution(s).

F) Funding period: After receiving official grant approval and having coordinated and made preparations with your overseas counterpart institution(s) and your affiliated institution in Japan, you should submit an application for funding disbursal no later than 31 March 2019. Your overseas research must begin by the fiscal year following the year you submitted your funding application. The grant funds may be spent after your institution makes a funding disbursal request. (You may not
spend the funds immediately after receiving an informal decision of grant approval.) Starting from the fiscal year that the funding request is made, the grant may be spent up to the end of the third fiscal year irrespective of the last year of the research plan which you are currently implementing.

G) Grant: A grant is disbursed from the KAKENHI multi-year fund.

<Points to Keep in Mind>

1) If researchers under age 36 who received their doctorates five or more years ago apply, please note that information on them as applicants must be submitted to JSPS via their research institution.

2) The application for funding disbursal must be withdrawn if the overseas research plan is not determined by 31 March 2019, precluding the submission of a funding disbursal request (Except in the case of the funding request being withheld in connection with taking maternity or childcare leave).

3) It is possible that changing the overseas counterpart institution(s) may alter the research project’s objectives. Without an appropriate reason, therefore, the institution(s) may not be changed after the grant application has been submitted.

4) Excluded from applying for this grant are researchers who are participating in or scheduled to participate in the overseas dispatch or overseas research activities of “Program for Postdoctoral Fellowships for Research Abroad” or “Program for Advancing Strategic International Networks to Accelerate the Circulation of Talented Researchers” or other Japanese government programs or independent administrative institution programs.

5) If you are currently carrying out or scheduled to carry out some other project funded or commissioned by the Japanese government or by an independent administrative institution (etc.), please consider the implementation of that project when applying for this grant.

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

7) If researchers lose their eligibility for this grant, even during the period of their overseas stay, they are to carry out the procedure to cancel the grant.

2. Schedule from Application to Receipt of Funding

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

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

<table>
<thead>
<tr>
<th>The Date and Time</th>
<th>Procedures to be Performed by the Principal Investigator (See &quot;Ⅲ Instructions &amp; Procedures for those Intending to Apply&quot;)</th>
<th>Procedures to be Performed by the Research Institution (See &quot;Ⅴ Instructions &amp; Procedures for Staff of the Research Institution&quot;)</th>
</tr>
</thead>
<tbody>
<tr>
<td>From July, 2017</td>
<td>1) If such researchers wish to apply, they should notify their affiliated research institution of their intention to do so.</td>
<td>1) Submission of applicant information (e-mail)</td>
</tr>
<tr>
<td>Start of the Call for Proposals</td>
<td>2) Preparing the Application The Principal Investigators should access the Electronic Application System using the ID and the e-Rad Password which has been provided by the research institution and preparing the application.</td>
<td>Deadline for the Submission: July 31 (Mon) 4:30 pm (to be strictly observed)</td>
</tr>
<tr>
<td></td>
<td>3) Submission (Sending) of the Application Documents The Principal Investigator should submit (send) the application documents to the research institution s/he belongs to, by the deadline decided by the research institution.</td>
<td>Procedures to be completed, if the need arises</td>
</tr>
<tr>
<td>September 5</td>
<td></td>
<td></td>
</tr>
<tr>
<td>(Tue) 4:30 pm</td>
<td></td>
<td>2) The Research Institution obtains an ID and Password for e-Rad from the person in charge of the operation of e-Rad (This does not apply if the research institution already obtained them.) ※The issue of the ID and the Password takes about 2 weeks.</td>
</tr>
<tr>
<td>Deadline for the Submission</td>
<td></td>
<td>3) Changing Principal Investigator’s information registered on e-Rad</td>
</tr>
<tr>
<td>(to be strictly observed)</td>
<td></td>
<td>4) Submission of the “Self-assessment Checklist on the Implementation of the System”, based on the Guidelines.</td>
</tr>
<tr>
<td></td>
<td></td>
<td>Submission of “Checklist Pertaining to the Current Status” based on the “Guidelines for Responding to Misconduct in Research”</td>
</tr>
<tr>
<td></td>
<td></td>
<td>5) Submission (Sending) of the Application Documents</td>
</tr>
</tbody>
</table>

Notes: After the Principal Investigator submit (sending) the application to the research institution (mentioned in “Procedures to be Performed by the Principal Investigator” 3)), the research institution should submit (sending) to the JSPS the application by the deadline for the submission (mentioned in “Procedures to be Performed by the Research Institution”5)).

The Principal Investigator should verify the section “Preparing the Application and Submitting the Application” (pages 24-32), etc., as well as verify the procedures designated by the research institution, etc. (deadline for the submission of the application, etc., in the research institution), with the office worker in charge in the research institution.
(2) Schedule after the Submission of the Application Documents (plan)

If after receiving an informal decision of grant approval your overseas research plan is determined, a funding disbursal request may be submitted at any time before 31 March 2019.

<table>
<thead>
<tr>
<th>Fund for the Promotion of Joint International Research (Fostering Joint International Research)</th>
</tr>
</thead>
<tbody>
<tr>
<td>October 2017 to January 2018: Screening</td>
</tr>
<tr>
<td>January 2018: Informal decision to grant the funding※1</td>
</tr>
<tr>
<td>By 31 March 2019: Application for funding (whenever preparations are ready)</td>
</tr>
<tr>
<td>After application for funding: Decision concerning the granting of the funding</td>
</tr>
<tr>
<td>After decision concerning the granting of the funding: Remittance※2</td>
</tr>
</tbody>
</table>

※1 Depending on the volume of grant applications received, the date of the informal decision to grant the funding may be delayed.
※2 Even for amounts of ¥3 million or more, the grant will be remitted in one lump sum.
III. Instructions & Procedures for those Intending to Apply

I. Procedures to be Completed Prior to the Application

Three things need to be done before applying: (1) Verify one’s eligibility to apply, (2) Verify the registration of one’s researcher information (on e-Rad), (3) Obtain an ID and password for using the Electronic Application System.

(1) Verification of the Eligibility to Apply

Under the Fund for the Promotion of Joint International Research (Fostering Joint International Research), projects that are being carried out in the KAKENHI categories of “Grant-in-Aid for Scientific Research” or “Grant-in-Aid for Young Scientists” at the time of grant application are hereinafter called “root research projects.” This Fund works to markedly advance those projects.

To apply for a grant under the Fund for the Promotion of Joint International Research (Fostering Joint International Research), a researcher must meet the below two KAKENHI eligibility requirements. The applicant must also have been selected for a Grant-in-Aid for Scientific Research (excluding “Overseas Academic Research”) or a Grant-in-Aid for Young Scientists as of 1 April 2017. At the time of this grant application, s/he must be a Principal Investigator in a currently implemented grant project (root research project) in one of these categories, and be of an age between 36 and 45 years old (born between 2 April 1971 and 1 April 1981). However, researchers who received their doctorates five or more years ago (on or before April 1, 2012) may apply even if under 36 years of age.

Such researchers are to notify their affiliated research institution of their intention to apply for the grant and, by the prescribed deadline, submit their application information to JSPS via their affiliated institution. Regarding the application procedure and deadline, please confirm them with your research institution.

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

1. At the time of the application, a person needs to be recognized by the research institution (Note) to which he or she belongs to be a researcher who meets the requirements 1), 2) and 3) below, and needs to be a researcher whose Researcher Information has been registered in e-Rad as “Eligible to Apply for Grants-in-Aid for Research.”

Requirements

1) The researcher should belong to the research institution as a person who has *inter alia* the duty to perform research activities within the research institution in question
(irrespective of whether the work is paid or unpaid, full-time or part-time. Moreover, it is not necessary for the researcher to perform these research activities as such as his or her main duty.)

2) **The researcher should actually be engaged in research activities at the research institution in question** (This does not apply to cases where he or she is only engaged as a research assistant.)

3) **The researcher is not a graduate student or any other category of student.** (However, this does not apply to persons who have a position consisting of conducting research activities in the research institution to which they belong, as their main work (e.g., university teaching staff, researchers from companies, etc.), and who also have a student status.)

Note: Research institutions as prescribed in Article 2 of the Rules for the Handling of Grants-in-Aid for Scientific Research (announced by the Ministry of Education)

(Reference) Requirements that need to be met by the research institution (see page 34)

**Requirements**

- If a KAKENHI is given, the research activity should be conducted as an activity of the research institution in question.
- If a KAKENHI is given, the research institution should carry out the management of the KAKENHI.

② A person should not fall under “Not eligible for receipt of funding” in FY2017, because he or she committed fraudulent use, fraudulent receiving of grants or fraudulent acts of/with Grants-in-Aid for Scientific Research or other competitive funding.

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

- If it is judged in the research institution to which researchers belong that it is not appropriate to let them conduct their research activities as activities of the research institution in question, it may happen that the research institution does not recognize the application. It may also happen that the application for funding by these researchers in question is not recognized and that the application for funding of the KAKENHI is rejected.
- No KAKENHI will be funded, if there is a new application from researchers who do not submit the report on the research achievements at the end of the research period, without any reason, even if their research has been adopted after screening. Moreover, if researchers have failed, without good reason, to submit the scheduled report on the research achievements, then implementation of other Grants-in-Aid for Scientific Research due to be implemented in the same fiscal year will be suspended.

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

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

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

(2) Verification of the Registration of the Researcher Information in e-Rad

To apply for a grant under the Fund for the Promotion of Joint International Research (Fostering Joint International Research), the Principal Investigator must be eligible at the time of the application-submission deadline and be registered in the e-Rad system as “Eligible to Apply for KAKENHI.”

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

Regarding the e-Rad registration process, the research institution registers the Principal Investigator in the e-Rad system. To facilitate the process, the Principal Investigator is to verify with his/her affiliated institution the registration content and procedure (e.g., the institution’s deadline for filing the registration, the method for confirming his/her current registration status). When the Principal Investigator is already registered in e-Rad, s/he should make the necessary adjustments if any of his/her registered information (e.g., “institution,” “position,” other items) has changed.

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

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

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

2. Verification of the Restrictions on Duplication

Before preparing the application forms, researchers who would like to apply for KAKENHI need to sufficiently verify the rules for “restrictions on duplication” in order to find out whether it is possible to apply for the research category they would like to apply for.

(1) Restrictions on Duplication in the Basic Policy

In the KAKENHI different “Research Categories” and “Screening Divisions” have been made, based on the scale of the research, the content, and other factors. This makes it possible to apply for research projects that meet the demands of various research forms.

On the other hand, taking into consideration the necessity to support many excellent researchers with limited resources, the danger of negatively affecting the operation of proper reviewing by an increase in the number of applications, and other elements, “Rules for Restrictions on Duplication” have been set up, based on the following fundamental principles.

1. Making sure that as many excellent researchers as possible are supported with limited resources.
2. Making sure that the number of applications does not increase dramatically, based on the reviewing system of each research category.
3. When setting up restrictions, primarily making the Principal Investigator who bears all responsibility eligible for the implementation of research projects, but also making the Co-Investigator (kenkyū-buntansha) eligible in some cases, for example, if the amount of funds in a research category is large.
4. Based on the fundamental principles outlined above, taking into consideration the purpose, character, and other elements of the “Research Categories” of the Grants-in-Aid for Scientific Research, and setting up restrictions on duplication separately, by making a distinction between the restrictions on application or restrictions on receiving of funds.

Moreover, if a research project falls under the concept “unreasonable reduplication” as shown in the “Guidelines on the Proper Implementation of Competitive Funding” (cf. page 8), 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.

(2) Restrictions on Duplicate Applications and Funding Receipt

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

2) There is no restriction on duplication between a research project in this grant category and one in another grant category. (However, there is a restriction on overlapping implementation
between the root project and project(s) in another grant category.)

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

4) One researchers may receive only one grant under the Fund for the Promotion of Joint International Research (Fostering Joint International Research). (Here, “receive a grant” means receiving the grant after the funding request is approved.) Researchers whose projects were selected under the FY2016 Fund are not allowed to apply for a grant under the FY2017 Fund even if their FY2016 funding disbursal request was not submitted due to unfinished coordination with the applicant’s affiliated institution in Japan or with his/her overseas counterpart institution.

(3) Other Important Points
1) Even if duplicate application, etc. is possible according to the rules on restriction of duplication, the researcher should consider the restrictions in case of “Situations where the applicant cannot carry out his/her responsibility as a Principal Investigator or a Co-Investigator (kenkyū-buntansha), due to participation in multiple research projects.” Altogether, he or she should consider the content of “Elimination of Unreasonable Reduplication and Excessive Concentration” mentioned on pages 6-8.

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

3) Although there are no restrictions on duplication between KAKENHI and other competitive funding schemes, applicants should consider the content of the section “Eliminate Unreasonable Reduplication and Excessive Concentration” mentioned on pages 6-8. As stated on page 16, researchers should also consider whether or not they are or will be participating in overseas stay or overseas research activity via an overseas joint research or exchange project implemented under the program “Postdoctoral Fellowships for Research Abroad,” “Program for Advancing Strategic International Networks to Accelerate the Circulation of Talented Researchers,” other Japanese government program, or independent administrative institution program.

3. Root Research Projects and Other Research Projects

(1) Projects qualified as “root research projects”
1) Research projects selected as of 1 April 2017 under Grant-in-Aid for Scientific Research (excluding “Overseas Academic Research”) or Grant-in-Aid for Young Scientists whose
implementation is ongoing at the time this grant application is submitted. Qualified also are research projects that have been extended for the purpose of maternity leave or childcare leave and are still ongoing in FY 2017 and projects that are suspended in FY 2017 for maternity or childcare leave (This includes ongoing single-year projects whose funding disbursal request in being withheld due to maternity or childcare leave taken in FY 2017.).

* Projects not qualified as “root research projects”
- Research projects scheduled to end in FY 2016 approved for carry-over to FY 2017 (single-year projects and partial Multi-year Fund projects) and projects approved for extension into FY 2017 (partial Multi-year Fund projects and Multi-year Fund projects, excluding projects extended for maternity or childcare leave).
- Research projects in their last fiscal year whose Principal Investigator applied in the previous year for a Grant-in-Aid for Specially Promoted Research or Grant-in-Aid for Scientific Research (S) and was selected for the grant.
- Research projects whose funding disbursal request was withdrawn or scheduled to be cancelled by the Principal Investigator due the restriction on duplication or other reasons.
- A research project newly selected in or before FY 2017 whose funding request is being withheld.
- A research project newly selected in FY 2017 under Grant-in-Aid for Scientific Research (S) or Grant-in-Aid for Scientific Research (B) or (C) (screening division: Generative Research Fields).

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

4. Preparing the Application (Proposal for Grant-in-Aid) and Submitting the Application (Proposal for Grant-in-Aid)

The document necessary for the application is the Proposal for Grant-in-Aid. The Proposal for Grant-in-Aid consists of two parts: the Application Information (Items to be filled in on the form on the website), which is the first part, and the Project Description File (Items to be entered in the attached file), which is the second part.

The Principal Investigator should prepare the Proposal for Grant-in-Aid (PDF file) by entering the application information (Items to be filled in on the form on the website), and by uploading the
separately prepared Project Description File (Items to be entered in the attached file) to the Electronic Application System. Then he or she should submit (send) the Proposal for Grant-in-Aid to the research institution he or she belongs to, by the deadline set by the research institution.

Details on the preparation of the Proposal for Grant-in-Aid and the way how to apply are as follows. The applicant should verify this information.

(1) Preparing the Proposal for Grant-in-Aid

When applying, applicants are to access the Electronic Application System using their e-Rad ID and password and prepare the Proposal for Grant-in-Aid.

On the Proposal for Grant-in-Aid

A proposal for grant-in-aid consists of the following two parts:

First part: Enter the application information (to be entered in the website) (*1) in the electronic application system.

(*1) Information to be entered by the Principal Investigator in the website via the electronic application system includes the title of proposed project, basic data on the proposed project, like the budget for which the application is made, etc.

Second part: Download the project description file (*2) from the section “Grants-in-Aid for Scientific Research - KAKENHI” of the JSPS website (http://www.jsps.go.jp/j-grantsinaid/index.html), and prepare the proposal for grant-in-aid (PDF file) by uploading it to the “electronic application system.”

(Paper-based applications will not be accepted.)

(*2) Details on the research project including the purpose of the research, the research plan and research methods should be entered.

<table>
<thead>
<tr>
<th>Research category</th>
<th>Proposal for Grant-in-Aid</th>
</tr>
</thead>
<tbody>
<tr>
<td>First part</td>
<td>Second part</td>
</tr>
<tr>
<td>Application information (to be entered in the website)</td>
<td>Project Description File</td>
</tr>
<tr>
<td>Fund for the Promotion of Joint International Research (Fostering Joint International Research)</td>
<td>To be entered in the electronic application system</td>
</tr>
</tbody>
</table>

(2) Application via the Electronic Application System

1) For “Fund for the Promotion of Joint International Research (Fostering Joint International Research),” researchers who apply as Principal Investigators should prepare the Proposal for Grant-in-Aid (PDF file) by entering the Application Information (Items to be filled in on the
form on the website), based on the “FY2017 Procedures for Preparing and Entering Application Information (to be entered in the Website) (Fund for the Promotion of Joint International Research (Fostering Joint International Research))”, and by uploading the separately prepared Project Description File (items in the attached file) to the Electronic Application System, based on the “FY2017 Procedures for Preparing and Entering a Proposal for Grant-in-Aid for ‘Fund for the Promotion of Joint International Research (Fostering Joint International Research)’ (New).”

2) A copy of the proposal for grant-in-aid in black-and-white (gray scale) print is sent to the screening committee. Therefore, when preparing the proposal for grant-in-aid, the applicant should pay attention not to make a version of which the content becomes unclear when copied.

3) The research institution to which the Principal Investigator belongs collects and submits the Proposals for Grant-in-Aid. Therefore, Principal Investigators should submit (send) their application forms to the research institution to which they belong by the deadline set by the research institution in question. (It is not possible to submit (send) the application forms directly to JSPS.)

Moreover, when submitting (sending) the forms, applicants should sufficiently verify the contents of the Proposal for Grant-in-Aid (PDF file) that they prepared, and subsequently perform the “check completed and submission” process. (This means that they submit the Proposal for Grant-in-Aid (PDF file) to the research institution to which they belong.) Furthermore, it is not possible to make corrections or other modifications to the Proposal for Grant-in-Aid (PDF file) for which the research institution has already performed the “approval” process.

4) The personal information included in the Proposal for Grant-in-Aid will be used to eliminate unreasonable reduplication and excessive concentration of competitive funds and to carry out service on KAKENHI. (This also includes offering personal information to external private enterprises in charge of electronic processing and management of the data.) The personal information included in the application forms will also be provided to the e-Rad. (It may happen that information will be supplied to the Cabinet Office through e-Rad. Moreover, the applicant may be requested to cooperate in various kinds of work, the verification of information and other matters, in order to prepare this information.)

Moreover, information concerning adopted research projects (title of proposed project, name of the Principal Investigator, amount planned to be provided, etc.) is considered to be “information planned to be made public”, as laid down in Article 5, paragraph 1, item 1 of the “Act on Access to Information Held by Independent Administrative Agencies” (Act No. 140 of 2001). This information will be disclosed through press release materials, the database of the National Institute of Informatics (KAKEN), and other means.
Information like professional affiliation, name, etc. of the Principal Investigator of the selected research project will be entered in the database of JSPS screening committee candidates, as the need arises. A request for updating the database will be made annually through the research institution to which the Principal Investigators belong.

**Issues that Need to Be Considered When Preparing the Proposal for Grant-in-Aid**

When preparing the Proposal for Grant-in-Aid, the applicant should check the following points and verify whether there are no flaws in the content.

1. **Whether or not it is an Ineligible Research Project**
   
The following research projects are not eligible:
   
   A) Research projects which merely aim at purchasing ready-made research equipment.
   
   B) Research projects which aim at producing large-size research equipment and similar things which should be funded by other budgets.
   
   C) 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).
   
   D) Funded research which is carried out as commercial business.
   
   E) Research projects with a budget of **less than 100,000 yen**

2. **Whether the following requirements are met for the Project Members**
   
   When necessary, the Principal Investigator (See page 28-29) can set up a team of project members together with a Research Collaborator (See page 29), according to the nature of the research project. Also, the research institution must verify whether the principle investigator satisfies the below listed requirements at the time s/he submits an application and whether his/her information is registered on e-Rad as “eligible to apply for a Grant-in-Aid.” It is not, however, necessary to register research collaborators on e-Rad.

   **Requirements**
   
   1) **The researcher should belong to the research institution as a person who has *inter alia* the duty to perform research activities within the research institution in question** (irrespective of whether the work is paid or unpaid, full-time of part-time. Moreover, it is not necessary for the researcher to perform these research activities as such as his or her main duty.)
   
   2) **The researcher should actually be engaged in research activities at the research institution in question** (This does not apply to cases where he or she is only engaged as a research assistant.)
   
   3) **The researcher is not a graduate student or any other category of student.** (However, this does not apply to persons who have a position consisting of conducting research activities in...
the research institution to which they belong, as their main work (e.g., university teaching staff, researchers from companies, etc.), and who also have a student status.)

Note: Research institutions as prescribed in Article 2 of the Rules for the Handling of Grants-in-Aid for Scientific Research (announced by the Ministry of Education)

(References) Requirements that need to be met by the research institution (see page 34)

Requirements
- If a KAKENHI is given, the research activity should be conducted as an activity of the research institution in question.
- If a KAKENHI is given, the research institution should carry out the management of the KAKENHI.

Research grant employees, as a rule, need to concentrate on their employment related work according to their employment contracts. Therefore, considering the working hours they need to allot to the employment related work, they cannot apply for Fund for the Promotion of Joint International Research (Fostering Joint International Research).

Principal Investigators are members of funded projects, as stipulated in the Law on the Improvement of the Administration of the Budget for Grants-in-Aid (1955, Law no. 179), and it has been decided that, in case they commit inappropriate use of the grants-in-aid or the like, no KAKENHI will be offered, for a fixed period of time.

In addition, it may happen that researchers are treated as indicated below, even if their researcher information has been registered in e-Rad as “Eligible to Apply for Grants-in-Aid for Research.”

- If it is judged in the research institution to which researchers belong that it is not appropriate to let them conduct their research activities as activities of the research institution in question, it may happen that the research institution does not recognize the application, and it may happen that the application for funding by these researchers in question is not recognized and that the application for funding of the KAKENHI is rejected.
- No KAKENHI will be funded, if there is a new application for Grants-in-Aid for Scientific Research from researchers who do not submit the report on the research achievements at the end of the research, without any reason, even if their research has been adopted after screening. Moreover, if researchers have failed, without good reason, to submit the scheduled report on the research achievements, then implementation of other Grants-in-Aid for Scientific Research due to be implemented in the same fiscal year will be suspended.

1) Principal Investigator (The applicant)

(A) The Principal Investigator is a member of a funded project and is the researcher who assumes full responsibility for the implementation of the research project (including the summarizing of
the research achievements).

Moreover, persons who are expected to become unable to carry out their responsibility as a Principal Investigator, for example due to the loss of their applicant eligibility during the period of research, should avoid becoming a Principal Investigator. (See (Note))

(Note)
The Principal Investigator is the researcher who assumes a full responsibility for the implementation of the research plan and thus plays a central role. Persons who, at the time they apply, are expected to lose their eligibility to apply during the research period due to retirement or other reasons and are therefore thus expected to become unable to carry out the responsibility, are requested not to become a Principal Investigator since the substitutions of Principal Investigators is not accepted.

(B) Apart from registration in e-Rad of the information on the researchers as “Eligible to Apply for KAKENHI,” it is essential that Principal Investigators are not designated as ineligible for receipt of funding in FY2017, because they committed fraudulent use, fraudulent receipt of grants or fraudulent acts using KAKENHI or other competitive funding.

2) Research Collaborator

(A) A Research Collaborator is somebody who cooperates in the implementation of a research project other than the Principal Investigator.

(For example, a postdoctoral researcher, a research assistant (RA), a researcher who belongs to an overseas research institution, a researcher who works for a corporation that is not recognized according to Article 2 of the Rules for the Handling of Grants-in-Aid for Scientific Research, other persons offering research support, such as technical experts and intellectual property specialists, etc.)

(B) It is not necessary for Research Collaborators to register the information on the researchers in e-Rad as “Eligible to Apply for KAKENHI.”

3. Whether the following requirements are met for the Budget

1) Eligible costs (direct costs)

A budget necessary for implementing the research plan (including funds for summarizing the research results) is allocated to Grant-in-Aid projects. Under the grant “Fostering Joint International Research,” the expense items (i.e. equipment, consumables, travel, personnel/remuneration, miscellaneous) are divided among the categories “travel expenses and accommodation fees,” (note 1) “research funding ,” and “cost of replacement staff” (note 1 and 2). Moreover, when selecting projects, consideration will be given to allotting applicants the full amount of their requested in their application form.
If the cost of replacement staff exceeds 50% of the project budget and equipment will be purchased for use in Japan, please describe the need for them in the Proposal for Grant-in-Aid.

**[Eligible costs (direct costs)]**

<table>
<thead>
<tr>
<th></th>
<th>Expenses for goods (equipment and consumables)</th>
<th>Travel expenses</th>
<th>Personnel expenditure and remuneration</th>
<th>Miscellaneous</th>
</tr>
</thead>
<tbody>
<tr>
<td>Travel Expenses and Accommodation Fees</td>
<td></td>
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<td></td>
<td></td>
</tr>
<tr>
<td>Research Funding</td>
<td>○</td>
<td>○</td>
<td></td>
<td>○</td>
</tr>
<tr>
<td>Cost of Replacement Staff</td>
<td>○</td>
<td>○</td>
<td>○</td>
<td>○</td>
</tr>
</tbody>
</table>

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

(Note 1) “Travel Expenses and Accommodation Fees” and “Cost of Replacement Staff”: As with research funds, these expenses are disbursed based on the rules and procedures of the Principal Investigator’s research institution. When computing them, therefore, the office in charge at the research institution should be consulted when deemed necessary.

(Note 2) “Cost of replacement staff” refers to mainly the cost of securing someone to substitute for the Principal Investigator at his/her affiliated research institution while s/he is overseas. (The cost comprises mainly personnel expenditure and remuneration.) To facilitate the Principal Investigator’s overseas stay, if there is a duty that cannot be carried out by his/her replacement staff for some reason, s/he may include the cost to carry out that duty while at the overseas counterpart institution in the budget plan under “Expenses for Goods (equipment and consumables).” The following are examples of allowable expenses.

- Salary of part-time lecturer to give lectures and perform other duties in place of the Principal Investigator
- Honorarium and travel expense for inviting the part-time lecturer
- Funds for paying a part-time staff, TA or RA to support the personnel who carry out the Principal Investigator’s education, research, university committee and other duties in his/her absence.
- The cost of equipment used by the Principal Investigator in carrying out his/her duty to educate students at the counterpart institution.

The following types of expenditures are not allowed.

- The cost of computers, tables and chairs (etc.) used in preparing for lectures given by the replacement staff
- The cost of teaching aids and consumable supplies used in giving lectures by the replacement staff
- Travel costs of the replacement staff when traveling on other business such as related to entrance exams or public relations (etc.).
- If the replacement staff is a collaborating researcher in the root research project, the payment of an honorarium to him/her is not allowed.

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

2) Differentiating root research projects
Projects under the Fund for the Promotion of Joint International Research (Fostering Joint International Research), root research projects, and other KAKENHI projects cannot pool their funding, which must be separated. This should be borne in mind when computing the funding needed to carry out a research plan for a project under the Fund.
Direct funding under the Fund for the Promotion of Joint International Research (Fostering Joint International Research) cannot be used to fund root research projects or other KAKENHI projects. This should be borne in mind particularly when computing the funding to be used in the Japan portion of Fund projects.

3) The following costs are not included in the funding:
A Costs for buildings and other facilities (excluding the costs for minor installations which became necessary because of the introduction of goods that have been purchased by means of direct costs)
B Costs for handling accidents or disasters that occurred during the implementation of funded project
C Personnel expenditure and remuneration for the Principal Investigator
D Other costs which fall under indirect costs*
   * Indirect costs are costs necessary for the management of the research institution and other things that arise during the implementation of the research project (corresponding with 30% of the amount of the direct costs). The costs are used by the research institution.
   This time, it is scheduled to set up indirect costs for the research categories for which a call for proposals is organized. However, the Principal Investigator does not need to state those indirect costs in the application documents.

4. When applying, the applicant should select a desired area for screening as follows
When applying, applicants are to select a prospective research area for application screening from the ten areas listed below.
5. The applicant is to follow the prescribed format

Be sure that your application documents are in line with those called for in the application form. From this application call, the application form has been amended (e.g. the column frame-lines have been eliminated on the pages of the Grant-in-Aid Proposal). When making entries, please refer to the supplementary volume “Application Procedures for Grants-in-Aid for Scientific Research - KAKENHI - for FY2017 Fund for the Promotion of Joint International Research (Fostering Joint International Research) (Application documents: Forms and Guidelines),” pages 8-17.

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

5. Concerning participation in an Ethics Education in Research Training Session

Principal investigators participating in research projects funded by KAKENHI Grants-in-Aid must before a funding disbursal request is made for a new FY2017 project read and complete the teaching materials concerning the Ethics Education and Research Training Session (For the Sound Development of Science-The Attitude of a Conscientious Scientist- “For the Sound Development of Science” Editorial Committee, E-Learning Course on Research Ethics [eL CoRE] , CITI Japan e-learning program, etc.) or participating in the Ethics Education in Research Training Session based on the “Guidelines for Responding to Misconduct in Research (Adopted August 26, 2014 by MEXT), conducted at the research institution.

※Participation in an Ethics Education and Research Training Session of the Principal Investigator will be confirmed through the JSPS Electronic Application System.
IV. Instructions & Procedures for those Who Have Already Been Accepted

1. Handling of Research Projects Selected in or before FY 2016

One researcher may receive only one grant under the Fund for the Promotion of Joint International Research (Fostering Joint International Research). Therefore, Principal Investigators who were selected for a project under this Fund in or before FY 2016 and whose funding disbursal request was approved may not apply for another grant under the Fund.

If a project has been selected for a grant under the Fund in FY 2016 but its funding disbursal request has not yet been made, there is no need to resubmit the application documents in FY 2017.

2. On the Handling of Research Projects in Which the Principal Investigator Has Failed to Submit the Report on the Research Achievements

No further KAKENHI funding will be provided to researchers who, without a good reason, fail to submit a report on their research results at the end of the research period. In such cases, a decision may be made to cancel the researcher’s KAKENHI grant or to order him/her to return the funding already provided. The name and other information on the researcher’s current or previous research institution may also be made public.

Furthermore, if, without good reason, a researcher fails to submit the report on his/her research achievements, the implementation of other KAKENHI project(s) scheduled for the same fiscal year will be suspended.

3. Concerning participation in an Ethics Education in Research Training Session etc.

Principal Investigators of projects selected in or before FY 2016 under the Fund for the Promotion of Joint International Research (Fostering Joint International Research) are not required to take the Ethics Education in Research Training Session (etc.) as they should have already taken it when carrying out the root research project.
V. Instructions & Procedures for Staff of the Research Institution

1. Issues to Be Completed Beforehand by the “Research Institution”

(1) Requirements as a “Research Institution” and Procedures for Designation and Change
In order to apply for KAKENHI, a researcher needs to belong to a “Research Institution”

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

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 MEXT (See Note)

(Note)
In order to become research institution, institutions not falling under 1) to 3) first need to receive the designation by the Minister of Education, Culture, Sports, Science and Technology. Therefore, institutions should consult with the Scientific Research Aid Division of the Research Promotion Bureau of the Ministry of Education, Culture, Sports, Science and Technology (MEXT).

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

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

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

(Requirements)
A) if a KAKENHI is given, the research activity should be conducted as an activity of the research institution in question,
B) if a KAKENHI is given, the research institution should carry out the management of KAKENHI.

(2) Confirmation of researcher’s application eligibility
To apply for a grant under the Fund for the Promotion of Joint International Research (Fostering Joint International Research), a researcher must satisfy the two KAKENHI application eligibility requirements listed below. S/he must also have been selected for a Grant-in-Aid for Scientific Research (excluding “Overseas Academic Research”) or a Grant-in-Aid for Young Scientists as of 1 April 2017, be a researcher in one of these Grant-in-Aid projects at the time s/he applies for this grant, and be of an age between 36 and 45 as of 1 April 2017 (born between 2 April 1971 and 1
April 1981). However, researchers who received their doctorates five or more years ago (on or before April 1, 2012) may apply even if they are under 36 years of age. The research institution is to confirm that the applicant satisfies these eligibility requirements.

Researchers who try to apply for KAKENHI, should meet the Eligibility to Apply. (see pages 19-20)

① At the time of the application, a person needs to be recognized by the research institution to which he or she belongs to be a researcher who meets the requirements A), B) and C) below, and needs to be a researcher whose Researcher Information has been registered in e-Rad as “Eligible to Apply for KAKENHI.”

(Requirements)
1) The researcher should belong to the research institution as a person who has inter alia the duty to perform research activities within the research institution in question (irrespective of whether the work is paid or unpaid, full-time of part-time. Moreover, it is not necessary for the researcher to perform these research activities as his or her main duty.)

2) The researcher should actually be engaged in research activities at the research institution in question (this does not apply to cases where he or she is only engaged as a research assistant.)

3) The researcher is not a graduate student or any other category of student. (However, this does not apply to persons who hold a position consisting of conducting research activities in the research institution to which they belong, as their main work (e.g. university teaching staff, researchers from companies, etc.), and those who also have a student status.)

② A person should not fall under “Not eligible for receipt of funding” in FY2017, because he or she committed fraudulent use, fraudulent receiving of grants or fraudulent acts of/with KAKENHI or other competitive funding.

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

- Prepare a replacement environment to facilitate the subject researcher’s stay for a set period at an overseas research institution
- Administer the KAKENHI grant funds used by the subject researcher during his/her overseas stay
- Confirm that the subject researcher is not participating in or scheduled to participate in an overseas dispatch or overseas research activities of the “Postdoctoral Fellowships for Research Abroad,” “Program for Advancing Strategic International Networks to Accelerate the Circulation of Talented Researchers,” or other Japanese government programs or independent administrative institution programs.
(3) Submission of Applicant Information

From FY 2017, researchers who received their doctorates five or more years ago (on or before April 1, 2012) may also apply for a grant under the Fund for the Promotion of Joint International Research (Fostering Joint International Research) even if they are under 36 years of age. Information on such researchers who wish to apply should be compiled and submitted to JSPS via e-mail by 31 July 2017 (Mon) 4:30 pm (to be strictly observed).

Please note that if their information is not submitted by the deadline, researchers under the age of 36 will not be able to apply in the electronic system.

Applicant information submitted to:
Research Aid Planning Division, Research Program Department,
Japan Society for the Promotion of Science
e-mail: kksi-kaken@jsps.go.jp

(4) Registration of the Researcher Information in e-Rad

Regarding the registration (renewal) of the researcher information necessary when applying, the person in charge in the research institution to which the researcher belongs should perform the procedures using e-Rad. (If there has been any change in the applicant’s information, such as affiliation or position, the information must be corrected even when s/he is already registered on e-Rad.)

For specifics on the method of registration (renewal), the research institution should verify the “Manual for Research Institutions to which the Researchers belong (for Research Institution Office Representatives and for Research Institution Office Workers).”

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

However, since Proposals for Grant-in-Aid will not be accepted after the deadline for submission of application documents, applicants should complete the registration (the renewal) of the researcher information early, in order to have sufficient time to submit (send) them.

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

(5) Verification of the ID and the Password of the Researcher Belonging to the Research Institution

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

For this reason, the research institution should verify whether researchers who are scheduling to apply have an ID and a Password, or not.
Note 1 When providing the login ID and password, research institutions must make it known to researchers that they must strictly protect the login ID and password in order to prevent them from being disclosed to others.

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

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

(6) Submission of 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)”

As research institutions submitting KAKENHI applications must comply with the “Guidelines on the Management and Audit of Public Research Funds at Research Institutions (Implementation Standards)” (Revised on February 18, 2014) (hereinafter called “Guidelines”), they are to set up a system for managing and auditing the implementation of public research funds and report the state of such implementation and other matters. Research institutions with Principal Investigators applying for a grant under the Fund for the Promotion of Joint International Research (Fostering Joint International Research) that submit a “Self-Assessment Checklist on the Improvement of the System and Other Matters”(based on the Guidelines) in or after April 2016 are not required to submit another Checklist. Please be advised that if this report is not submitted in April 2016 or later, applications of researchers who belong to the research institution in question in the electronic system will not be considered. (Even when the “Self-Assessment Checklist on the Improvement of the System and Other Matters” based on the “Guidelines on Public Research Expenses” and the “Checklist pertaining to the Current Status” based on “Guidelines for Responding to Misconduct in Research” have been submitted by the research institution, it will be approximately one week before researchers belonging to the institutions can apply for KAKENHI funding.)

With regard to the checklist submission method, checklist forms and other matters using e-Rad, the research institution should verify the text “Concerning the Form Files ‘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)’” on the webpage of the Ministry of Education, Culture, Sports, Science and Technology (MEXT) (http://www.mext.go.jp/a_menu/kansa/houkoku/1324571.htm).

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

Please direct inquiries to:
(for inquiries concerning forms of the guidelines and submission)
Office of Research Funding Administration
Promotion Policy Division

37
(7) Submission of the “Checklist pertaining to the Current Status” based on “Guidelines for Responding to Misconduct in Research”

Referring to the “Guidelines for Responding to Misconduct in Research” (Adopted by MEXT on 26 August 2014), research institutions applying for KAKENHI grants need to establish related rules and procedures. Furthermore, when applying for KAKENHI funding, from FY 2017 research institutions are required to submit a “Checklist pertaining to the Current Status” based on “Guidelines for Responding to Misconduct in Research” (hereinafter: Checklist pertaining to the Current Status). Research institutions with Principal Investigators applying for a grant under the Fund for the Promotion of Joint International Research (Fostering Joint International Research) that have already submitted the “Checklist pertaining to the Current Status” on or after the date (July 15, 2016) that MEXT issued its communiqué are not required to resubmit it. Please note that if this Checklist is not submitted, applications by researchers belonging to the research institution will not be accepted. Even if both the “Checklist pertaining to the Current Status” based on the “Guidelines for Responding to Misconduct in Research” and the “Self-Assessment Checklist on the Improvement of the System and Other Matters” based on the “Guidelines on Public Research Expenses” are both submitted, it will be about one week from the time of the Checklists submission before the researchers can apply for KAKENHI funding.

* Please note that while the “Checklist pertaining to the Current Status” is similar to the “Self-Assessment Checklist on the Improvement of the System and Other Matters” based on the “Guidelines on Public Research Expenses” in that it uses e-Rad for submission, as the submission...
destinations are different, both checklists must be submitted.

For information regarding the method for submitting the checklist over e-Rad or information on its format, please check the MEXT homepage: “(communiqué) Regarding the submission of the “Checklist pertaining to the Current Status” based on “Guidelines for Responding to Misconduct in Research”(Request) February 10, 2017”

URL: http://www.mext.go.jp/a_menu/jinzai/fusei/1374508.htm (Website in Japanese)

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

< Inquiries >
(Concerning the format and submission of Guidelines for Responding to Misconduct in Research)
* Differs from the contact information for public research expenses.
Office for Promotion of Correct Research, Knowledge Infrastructure Policy Division, Science and Technology Policy Bureau, Ministry of Education, Culture, Sports, Science and Technology (MEXT)
e-mail: kiban@mext.go.jp
URL: http://www.mext.go.jp/a_menu/jinzai/fusei/index.htm

(Concerning the research institute e-Rad registration)
The Helpdesk of the Cross-ministerial Research and Development management system of the Ministry of Education, Culture, Sports, Science and Technology (MEXT)
TEL 0570-066-877 (Navi Dial)
(office hours: 9:00-18:00, except on Saturdays, Sundays, National Holidays and the New Year Holidays (from December 29 until January 3))

(Time period when e-Rad is available for use)
Every day of the week, from 0:00 until 24:00 (in operation 24 hours a day, 365 days a year)
However, even during the above-mentioned time period, the operation of e-Rad may be disrupted or suspended, when maintenance and inspection is being carried out. If the operation is scheduled to be disrupted or suspended, this will be announced beforehand on the Portal Site.

(8) Implementation of a Research Ethics Education Course based on the “Guidelines for Responding to Misconduct in Research”
Before applying for funding, Principal Investigators carrying out a new research project are required to read and complete the teaching materials concerning the Ethics Education and Research Training Session (For the Sound Development of Science-The Attitude of a Conscientious Scientist- “For the Sound Development of Science” Editorial Committee, E-Learning Course on Research Ethics [eL CoRE] , CITI Japan e-learning program, etc.) or participating in the Ethics Education in Research Training Session based on the “Guidelines for Responding to Misconduct in Research” before
application.
To that end, each research institution has to implement an Ethics Education in Research Training Session based on the “Guidelines for Responding to Misconduct in Research.”

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

- No KAKENHI funding will be disbursed to researchers who, without good reason, do not submit the report on their research achievements at the end of the research period. In such a case, the decision to grant funding to the researcher may be cancelled, s/he may be ordered to return the already-issued grant, and/or the name (etc.) of his/her current/former research institution may be disclosed to the public.

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

(10) Obtaining Sufficient Knowledge about the Contents of the Application Procedures
The research institution should beforehand disseminate the contents of the Application Procedures to all the researchers on the campus. JSPS would especially like to request the dispersion of information on the items listed in the Application Procedures and the submission deadlines of application documents, in order to avoid potential misunderstandings.

Moreover, the Application Procedures are available on the section Grants-in-Aid for Scientific Research of the JSPS website (http://www.jsps.go.jp/j-grantsinaid/index.html). The website should be used as a reference.

2. Issues that Need to Be Verified When Compiling the Application Forms

(Preparing the Proposal for Grant-in-Aid)

The contents of the Proposals for Grant-in-Aid should be verified in each research institution, and all the Proposals for Grant-in-Aid should be submitted to JSPS by the deadline. When doing so, special attention should be paid to the following points.

(1) Verification of the Eligibility to Apply
It should be verified whether the Principal Investigator listed in the Proposal for Grant-in-Aid are persons who meet the requirements that are stipulated in the Application Procedures (see pages 19-20), and also whether the researcher information is registered in e-Rad as “Eligible to
Apply for KAKENHI.”

Moreover, on this occasion, it should certainly be verified whether the researchers who apply are not persons who have been excluded from receiving KAKENHI, due to an inappropriate use of KAKENHI.

(2) Verification of the Registration of the Researcher Information in e-Rad

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

If there has been any change in the applicant’s information, such as affiliation or position, the information must be corrected even when s/he is already registered on e-Rad.

(3) Verification of the Principal Investigator

The research institution should verify whether the Principal Investigator who have been listed in the the Proposal for Grant-in-Aid prepared the proposal, after verifying the section “II. Details of the Call for Proposals,” which are laid down in the Application Procedures.

(4) Verification of the Application Forms

The research institution is to verify whether the Grant-in-Aid application forms are prepared in the prescribed format. From this application call, the application form has been amended (e.g. the column framing-lines have been eliminated on the pages of the Grant-in-Aid Proposal). The research institution is to remind the Principal Investigators that when making entries, they need to refer to the supplementary volume “Application Procedures for Grants-in-Aid for Scientific Research - KAKENHI - for FY2017 Fund for the Promotion of Joint International Research (Fostering Joint International Research) (Application documents: Forms and Guidelines),” pages 8-17.

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

<table>
<thead>
<tr>
<th>Research category</th>
<th>Proposal for Grant-in-Aid</th>
</tr>
</thead>
<tbody>
<tr>
<td></td>
<td>First part</td>
</tr>
<tr>
<td></td>
<td>Application information (to be entered in the website)</td>
</tr>
<tr>
<td>Fund for the Promotion of Joint International Research</td>
<td>To be entered in the electronic application system</td>
</tr>
</tbody>
</table>

3. Submission and other matters of the Application Forms (Preparing the Proposal for Grant-in-Aid)

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

(2) The research institution should perform the “approval” process on all the proposals for grant-in-aid (PDF files) that have no mistakes in their contents. (It, then, submits (sends) the proposals for grant-in-aid (PDF files) to JSPS.) Moreover, it is not possible to make corrections or other modifications to the Proposal for Grant-in-Aid (PDF file) for which the research institution has already performed the “approval” process.

The deadline for the submission (sending) of the proposals for grant-in-aid is:

**September 5 (Tuesday), 2017, 4:30 pm**  (This deadline should be observed strictly.)

**Note 1** Application documents that are submitted (sent) after this deadline will not be accepted. Therefore, the documents should be submitted (sent) well in advance.

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

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

Moreover, an outline of the procedures for electronic application can be found below. However, for details on the operating environment, procedure, etc. of the “Electronic Application System,” please refer to the “Operation Manual” (URL: http://www-shinsei.jsps.go.jp/kaken/topkakenhi/shinsei_ka.html)
Outline of the Electronic Application Procedures

1. applicant
2. Proposal for Grant-in-Aid
3. Project Description File (Word)
4. application information (to be entered in the website)
5. the research institution to which the applicant belongs
6. person in charge in the research institution + person in charge in the department
7. request for issue and acquisition of the applicant’s ID and password for e-Rad
8. downloading of the Project Description File
9. sending the Proposal for Grant-in-Aid
10. Proposal for Grant-in-Aid
11. approval
12. rejection
13. only the person in charge of the research institution to which the applicant belongs can make an approval (The person in charge of the department of the applicant cannot make an approval.)
14. confirmation of the state of the application
15. the Japan Society for the Promotion of Science (JSPS)

The person in charge of the research institution to which the applicant (Principal Investigator) belongs

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

The applicant (Principal Investigator)

2-(1) The applicant accesses the “Electronic Application System,” using the ID and the password he or she received, and prepares the Proposal for Grant-in-Aid (PDF file), by entering the application information (to be entered in the website) and by uploading the Project Description File (items in the attached file).

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

**The person in charge of the research institution to which the applicant (Principal Investigator) belongs**

3. By approving the Proposal for Grant-in-Aid (PDF file) the person in charge of the research institution to which the applicant belongs submits (sends) it to JSPS.

Moreover, if the Proposal for Grant-in-Aid (PDF file) that the applicant submitted is not approved due to mistakes or other reasons, it will be rejected and the applicant will be requested to make corrections.
VI. Related Points of Importance

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

In order to answer to the diverse needs of researchers of KAKENHI research projects, the Grant-in-Aid for Scientific Research on Innovative Areas—Platforms for Advanced Technologies and Research Resources forms a resource and technical support platform for research (hereinafter: “Platform”) with the close cooperation of related institutes with inter-university research institutes and Joint Usage / Research Centers as core institutes. Together with providing technical support towards individual research projects and providing advanced problem solving methods to researchers, it provides an integral promotion of cooperation between researchers, interdisciplinary integration, and human resources development.

Applications for technical support etc. are open for each of the platforms below where it concerns research projects carried out through KAKENHI. Researchers desiring technical support etc. from each of the platforms, are requested to check their respective websites etc. and actively apply.

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

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

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

<table>
<thead>
<tr>
<th>Area</th>
<th>Platform Name</th>
<th>Core Institution</th>
<th>Support Function</th>
</tr>
</thead>
</table>
| Advanced Technology Support Platform Program | Platform of Advanced Bioimaging Support (*) | National Institute for Physiological Sciences, National Institute for Basic Biology | Advanced technical support and user training for:  
  • Light microscopy  
  • Electron microscopy  
  • Magnetic resonance imaging  
  • Imaging analysis |
| | Platform of Advanced Animal Model Support(*) | The Institute of Medical Science, The University of Tokyo | Support for constructing animal models, Support for pathological analysis, Support for pathological analysis, and Support for physiological profiling |
Platform for Advanced Genome Science(*)
National Institute of Genetics
Advanced genome analysis (de novo genome sequencing; re-sequencing for genome variation detection; analysis of transcriptome, epigenome and metagenome; ultra-high sensitivity analysis for single cells, single molecules, etc.; big-data analysis and advanced bioinformatics; by using of the latest facilities and technologies)

<table>
<thead>
<tr>
<th>Area</th>
<th>Platform Name</th>
<th>Core Institution</th>
<th>Support Function</th>
</tr>
</thead>
<tbody>
<tr>
<td>Research Platform</td>
<td>Platform for Integration and Sophistication of Image Information on Area Studies</td>
<td>National Museum of Ethnology</td>
<td>Digital Picture Library for Area Studies</td>
</tr>
<tr>
<td>Resource</td>
<td>Supply Platform of Short-lived Radioisotopes for Fundamental Research</td>
<td>Research Center for Nuclear Physics, Osaka University</td>
<td>Supply short-lived radioisotopes produced by accelerators for fundamental research in various scientific fields.</td>
</tr>
<tr>
<td></td>
<td>Platform of Supporting Cohort Study and Biospecimen Analysis (*)</td>
<td>The Institute of Medical Science The University of Tokyo</td>
<td>Support for cohort study using bioresources, Support for maintaining and utilizing human brain resources, and Support using biospecimen</td>
</tr>
</tbody>
</table>

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

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

2. Promotion of the Shared Use of Research Equipment

In “Reform of Competitive Research Funds: Towards a Sustained Output of Research Achievements (Interim Summary)” (24 June 2015 Competitive Research Fund Reform Review meeting) it was decided that, when the original research objectives were fully achieved, versatile and large equipment should, in principle, be shared.

Furthermore, in “On the Management of Research Organizations and the Introduction of a New, Unified System for the Shared Use of Research Equipment” (November 2015 Science and Technology Council Advanced Research Foundation Subcommittee), the establishment and operation of a “research equipment sharing system on the research organization level” (hereinafter: equipment sharing system) is demanded of universities and national research and development agencies etc.

With this in mind, when purchasing equipment with competitive research funds, please actively work on the use of equipment purchased with other research funds, and the purchase and shared use of equipment from several research funds where it concerns especially large and versatile equipment. Please also make ensure that sharing is possible within the rules of the said competitive research funds, and no obstacle is made to the execution of the research project.
On the Management of Research Organizations and the Introduction of a New, Unified System for the Shared Use of Research Equipment”  
(25 November 2015 Science and Technology Council Advanced Research Foundation Subcommittee)  
URL:http://www.mext.go.jp/b_menu/shingi/gijyutu/gijyutu17/houkoku/1366220.htm

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

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

3. Promotion of the ‘Dialogue on Science and Technology with Citizens’ (A Basic Course of Action)

In “On the Promotion of the ‘Dialogue on Science and Technology with Citizens’ (A Basic Course of Action)” (June 19, 2010, the Minister of State for Science and Technology Policy and the Experts of the Council for Science and Technology Policy) which has been compiled in June 2010, the activity in which researchers explain the content and achievements of their research activities to society and citizens in an easy-to-understand form is placed in the above-mentioned ‘Dialogue on Science and Technology with Citizens’. Researchers and other persons who have received an allotment of public research funds amounting more than 30,000,000 yen per year per case are requested to positively work on the ‘Dialogue on Science and Technology with Citizens’. Universities and other research institutions are also requested to make positive efforts in order to ensure the proper implementation of the Dialogue on Science and Technology between Citizens, on the one hand, and researchers and other persons who have received public research funds, on the other hand, for example, by setting up support systems.

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

4. Cooperation with the National Bioscience Database Center

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

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

JSPS would like to request researchers to cooperate by providing to the Center copies of raw data related to achievements published in research papers and other output in the area of life science, or copies of created open databases.

Moreover, the copies provided will be able to be utilized on a non-exclusive basis as reproductions, alterations, or in other necessary forms. Furthermore, JSPS would like researchers to understand in advance that, in response to requests of the institutions that received copies, it would also like request researchers to cooperate by providing all the information necessary for utilizing the copies.

Furthermore, the National Bioscience Database Center has developed guidelines for data on humans, in order to promote the sharing and use of data related to research in the area of life science, with due considerations to the protection of personal information.

**NBDC human data sharing guidelines**

Cf. URL: http://humandbs.biosciencedbc.jp/guidelines/

<Inquiries>

Japan Science and Technology Agency, National Bioscience Database Center

Tel. 03-5214-8491

5. The Inter-University Bio-Backup Project

The purpose of the Inter-University Bio-Backup Project is to “back up” biological genetic resources, which are indispensable research resources in various research areas, and to avoid damage or loss of biological genetic resources due to unforeseen accidents, disasters, etc. The project newly commenced from 2012.

In the National Institute for Basic Biology of the Inter-University Research Institute Corporation
National Institutes of Natural Sciences, which is the core of this project, the IBBP Center (Inter-University Bio-Backup Project for Basic Biology) (http://www.nibb.ac.jp/ibbp/) has been established as a backup center for biological genetic resources. It is equipped with the newest equipment necessary for the backup of biological genetic resources.

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

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

＜Inquiries＞
Inter-University Research Institute Corporation National Institutes of Natural Sciences, IBBP Center, Executive Office
Tel.0564-59-5930, 5931

6. Registration of the Researcher Information in researchmap

“Researchmap”(formerly “Read and Researchmap” 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 researchmap is linked to e-Rad and many university faculty databases, it allows registered information to be accessed by other systems. Registering one’s research results on researchmap eliminates the need for researchers to write the same information over and over again on application forms and in databases.

＜Inquiries＞
Japan Science and Technology Agency
Department of Databases for Information and Knowledge Infrastructure (researchmap section)
Inquiry Form on Web: https://researchmap.jp/public/inquiry/
Telephone: 03-5214-8490 (Office hours: 9:30~12:00, 13:00~17:00)
(Reference 1) Screening Panels and Other Matters

1. Concerning KAKENHI Screening

Omitted

2. Screening Methods, and Other Matters

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

The “details on assessment rules” (the screening outline for the Fund for the Promotion of Joint International Research (Fostering Joint International Research), called “screening outline” below)) is posted on KAKENHI homepage of JSPS’s website (http://www.jsps.go.jp/j-grantsinai/index.html).

(The screening outline for the FY 2017 is scheduled to be posted on the KAKENHI homepage around August.)

3. Notification of the Screening Results

JSPS will issue a notification in writing to the research institution on whether a research project has been selected, based on the results of the screening (Notification of the screening results is scheduled to be issued at the end of January. However, the timetable may be delayed due to the application volume.).
(Reference 2) Changes in Budgets and Other Information

1. Changes in budgets and other information

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<tbody>
<tr>
<td>Budget (¥ hundreds of millions)</td>
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<td>1,122</td>
<td>1,179</td>
<td>1,419</td>
<td>1,580</td>
<td>1,765</td>
<td>1,830</td>
<td>1,895</td>
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<td>1,970</td>
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<tr>
<td>Year-on-year increase (%)</td>
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<td>10.2</td>
<td>5.1</td>
<td>11.5</td>
<td>8.0</td>
<td>11.3</td>
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<td>0.9</td>
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<td>1.5</td>
<td>2.0</td>
<td>1.5</td>
<td>1.5</td>
<td>2.5</td>
<td>3.5</td>
<td>4.4</td>
<td>0.1</td>
<td>0.1</td>
</tr>
<tr>
<td>Amount disbursed (¥ hundreds of millions)</td>
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<td>Year-on-year increase (%)</td>
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</tr>
</tbody>
</table>

2. State of applications and approvals

3. Approval rate (Upper column: New projects, Lower column: New and continuing projects)
Inquiries

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

(1) For inquiries concerning the invitation of applications:

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

Phone: 03-3263-4927

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

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

Call center: 0120-556-739 (toll-free)
* Available from 9:30 to 17:30 every day except Saturdays, Sundays, National Holidays and the New Year Holidays (from December 29 until January 3)

The following phone numbers are also available: 03-3263-1902, 1913
System Management Team, Policy Planning, Information and Systems Division, Administration Department, Japan Society for the Promotion of Science

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

e-Rad help desk: 0570-066-877 (navigation dial)
* Available from 9:00 to 18:00 except on Saturdays, Sundays, National Holidays and the New Year Holidays (from December 29 until January 3)
* The following phone numbers are also available: 03-5625-3961

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

Office of Research Funding Administration, Promotion Policy Division, Research Promotion Bureau, the Ministry of Education, Culture, Sports, Science and Technology (MEXT)

Phone: 03-6734-4014

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

Office for Promotion of Correct Research, Knowledge Infrastructure Policy Division, Science and Technology Policy Bureau, Ministry of Education, Culture, Sports, Science and Technology (MEXT)
Phone: 03-5253-4111

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

National Bioscience Database Center, Japan Science and Technology Agency (JST)
Phone: 03-5214-8491

(7) For matters related to the “Inter-University Bio-Backup Project”

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

Tel.0564-59-5930, 5931

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

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