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

How to Make More Effective Use of the Program

(For Researchers)

FY2021 Edition

Preface

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

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

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

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

Contents

【Others】

1. What is the Grants-in-Aid for Scientific Research (KAKENHI) program?

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

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

Research type / Funding type	Scientific research based on researcher's creative ideas [curiosity-driven research]	R&D on policy imperatives [mission-oriented research]
Competitive research Funding (Selected through open calls and review)	**Research supported by Grants-in-Aid for Scientific Research**	Research funded by open call and selection in line with the missions set by individual Ministries
Basic funds (Provision of management and operation funds,	Research conducted at universities and inter-university research institutes	National projects led by the initiative of Government, strategically promoted R&D projects conducted by National Research and Development Agencies

Research activities take many forms, including those in which the researchers carry out their work relatively freely and with curiosity, projects in which the area of concentration and goals are defined in advance, and those intended to lead to specific product development. The starting point for these activities is scientific research based on the researcher's creative ideas. By broadly supporting this scientific research, which is the foundation of all research activities, the KAKENHI program plays a major role, in the fostering and development of scientific advances.

[Preface]

○ Research Categories

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

As of April, 2021

Research categories	Purposes and description of each research category	Type of fund[*1]
Grants-in-Aid for Scientific Research		
Grant-in-Aid for Specially Promoted Research	Outstanding and distinctive research conducted by one or a relatively small number of researchers expected to achieve remarkably excellent research results that open up a new scientific field. (3 to 5 years (In a truly necessary case, period up to 7 years is acceptable.); 200 million to 500 million yen per project (In a truly necessary case, applicants may apply for a budget exceeding 500 million yen is asked for.))	SG
Grant-in-Aid for Scientific Research on Innovative Areas	(Research in a proposed research area) This category is intended to foster novel research areas proposed by diverse groups of researchers that are expected to lead to development and heightening of Japan's research level in the respective fields, to be conducted by collective research efforts through collaboration, scholarly training, shared use of equipment, etc. (5 years; generally set between 10 million to 300 million yen per fiscal year per proposed area) 【For FY2020 and beyond, only proposals on Publicly Offered Research of the continued research areas will be called for.】	SG
Grant-in-Aid for Transformative Research Areas	(A) Research areas proposed through co-creative and interdisciplinary efforts of diverse researchers, which aim to create research areas that will lead the way to radical transformation of and change in the existing framework and/or direction of research as well as upgrade and level-up of scientific research in Japan and nurturing of young researchers, and will contribute to the development of the proposed research areas through efforts for joint research and shared use of equipment, etc. (5 years; more than 50 million yen and up to 300 million yen per fiscal year per research area (In a truly necessary case, a budget exceeding 300 million yen may be requested.)) (B) Research areas proposed by compact groups of researchers who will be bearers of the next generation of research with a smaller budget scale (about 3 or 4 groups), which aim to create research areas that will lead the way to radical transformation of and change in the existing framework and/or direction of research as well as upgrade and level-up of scientific research in Japan through more challenging and exploratory research, and expected to lead to Transformative Research Areas (A) in the future. (3 years; 50 million yen or less per fiscal year per research area)	SG

Grant-in-Aid for Scientific Research	(S): Creative/pioneering research conducted by one or a relatively small number of researchers. (5 years in principle; 50 to 200 million yen per project)
	(A), (B), (C): Creative/pioneering research conducted by one researcher or jointly by multiple researchers.
	    (A) 3 to 5 years; 20 million to 50 million yen
	    (B) 3 to 5 years; 5 million to 20 million yen
	    (C) 3 to 5 years; 5 million yen or less
	    *Classification of (A)/(B)/(C) is according to the budget range.
		(S)	SG

		(A)	
		(B)	
		(C)	MF
Grant-in-Aid for Challenging Research (Pioneering/Exploratory)	Research conducted by a single or multiple researcher that aims at radically transforming the existing research framework and/or changing the research direction and has a potential of rapid development. The scope of the (Exploratory) category encompasses research proposals that are highly exploratory and/or are in their budding stages. (Pioneering) 3 to 6 years; 5 million to 20 million yen (Exploratory) 2 to 3 years; 5 million yen or less	MF	
Grant-in-Aid for Early-Career Scientists	Research conducted by an individual researcher (*2) who is less than 8 years after Ph.D. acquisition. (2 to 5 years; up to 5 million yen per project)	MF	
Grant-in-Aid for Research Activity Start-up	Research conducted by a single researcher who has been freshly appointed to a research position, or who has returned from his/her maternity, childcare or other kinds of leave. (1 to2 years; up to 1.5 million per fiscal year)	MF	
Grant-in-Aid for Encouragement of Scientists	Individuals who belong to educational or research institutions, private companies, etc. and engage in the researches to contribute to the promotion of the science. (1 year; 100 thousand to 1 million yen per project)	SG	
Grant-in-Aid for Special Purposes	Research projects of pressing urgency and importance.	MF	
Grant-in-Aid for Publication of Scientific Research Results			
Publication of Research Results	Subsidy for publication and/or international dissemination of research achievements of high academic values executed by academic societies and other organizations.		
Enhancement of International Dissemination of Information	Subsidy for efforts by academic societies and associations to strengthen international dissemination of academic information for the purpose of international academic exchange.	SG	
Scientific Literature	Subsidy for academic publication of research results (books) authored by an individual or a group of researchers.		
Databases	Subsidy for creation and operation of a database open to public use, by an individual or a group of researchers.		
Grant-in-Aid for JSPS Fellows	Subsidy for research conducted by JSPS Fellows (including JSPS International Research Fellows) (up to 3 years; as for Cross-border Postdoctoral Fellowship (CDP) up to 5 years)	SG	

Fund for the Promotion of Joint International Research		
Fostering Joint International Research	(A) Support of joint international research project conducted by a KAKENHI grantee in collaboration with researcher(s) at foreign university or research institution for a period of 6 to 12 months. The grant seeks to markedly advance research plans for the root research project and to foster independent researchers who can be internationally competitive. (up to 12 million yen) [The category name is changed from FY2018 call for proposals.] (B) Support of joint international research project conducted by multiple domestic researchers and a researcher who belongs to overseas research institution. In addition to the development of scientific research, the grant seeks to build out infrastructure of joint international research or further strengthen joint international research and to foster researchers who can be internationally competitive. (3 to 6 years; up to 20 million yen)	MF
International Activities Supporting Group	Support of international activities within Scientific Research on Innovative Areas. (Set period of the Area: up to 15 million yen per fiscal year) [After FY2018 call for proposals "International Activities Supporting Group" has been incorporated into "Grant-in-Aid for Scientific Research on Innovative Areas "Administrative Group." (It continued until the FY2019 call for proposals.)]	
Home-Returning Researcher Development Research	Support of research to be conducted by a Japanese researcher currently affiliated with an institution abroad who is to be newly appointed at university or research institution in Japan. (up to 3 years; 50 million yen or less)	

(*1) SG: Series of Single-year Grants, MF: Multi-year Fund

(*2) Individuals who are in the prospect of acquiring Ph.D. and those who have acquired their Ph.D. within the past 8 years (provided that, the period of maternity leave and childcare leave taken after the acquisition of Ph.D. may be excluded) are eligible.

[Preface]

2. What are the KAKENHI rules?

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

○ **Application rules: eligibility and rules concerning the applications**

  (Contents of the "Application Procedures for Grants-in-Aid for Scientific Research")

○ **Assessment rules: rules concerning the pre-assessment (review), the interim assessment, the ex-post assessment, the research progress assessment, etc.**

  (Contents of the "Rules Concerning the Review and Assessment for Grants-in-Aid for Scientific Research," etc.)

○ **Spending rules: rules concerning the use of KAKENHI funding**

  (Contents of the Supplementary Conditions and Funding Conditions when funding is decided.)

- Grants-in-Aid for Scientific Research (KAKENHI) has categories funded by the Series of Single-year Grants and categories funded by Multi-year Funds. Spending rules can differ, so please make sure to thoroughly check the Supplementary Conditions (Series of Single-year Grants categories) and Funding Conditions (Multi-year Funds) for the applicable rules.

- For the application rules, assessment rules, spending rules, and FAQ on the program, please refer to the KAKENHI website.
  Ministry of Education, Culture, Sports, Science and Technology (MEXT):
  https://www.mext.go.jp/a_menu/shinkou/hojyo/main5_a5.htm
  Japan Society for the Promotion of Science (JSPS):
  https://www.jsps.go.jp/j-grantsinaid/index.html

● If you have further questions on the KAKENHI rules, please submit an inquiry to MEXT or JSPS through your research institution.

○ **A point of contact for opinions and requests concerning Grants-in-Aid for Scientific Research is available at the JSPS website. If you have any opinion or request, please submit to the following URL.**

https://www.jsps.go.jp/j-iken_youbou/index01.html

* A point of contact for opinions and requests concerning competitive research funds is available at the Cabinet Office. If you have any opinions or requests concerning improvements relating to the ease of use of competitive research funds in general, please submit them at the following URL.

https://form.cao.go.jp/cstp/opinion-0098.html

3. Year-round schedule of KAKENHI process

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

○ **Reviews are performed with the aim of reaching a provisional grant decision in February, so that research funds can be used without interruption.**

> **Starting from the FY2022 Call for Proposals, the schedule for the start of call for proposals, deadline for submission of applications, and timing of provisional grant decision will be changed to earlier dates.**

Schedule (from application to provisional grant decision) for the Scientific Research (A), (B), and (C) and the Grant-in-Aid for Early-Career Scientists: *The timing of official grant decisions is planned to be announced in the Application Procedures.

Scientific Research (A)
- Start of call for proposals: July 1
- Deadline for submission of applications: Early September
- Timing of provisional grant decision: End of February

Scientific Research (B)
- Start of call for proposals: August 1
- Deadline for submission of applications: Early October
- Timing of provisional grant decision: End of February

Scientific Research (C)

- ●Start of call for proposals: August 1
- ●Deadline for submission of applications: Early October
- ●Timing of provisional grant decision: End of February

Early-Career Scientists

- ●Start of call for proposals: August 1
- ●Deadline for submission of applications: Early October
- ●Timing of provisional grant decision: End of February

*Schedule for the call for proposals and provisional grant decisions for research categories other than those shown above are also being changed to earlier dates.

○ **The Grant-in-Aid for Research Activity Start-up is for researchers who could not submit a proposal during the call for proposals period (from July to October of the previous fiscal year) and therefore follows a different schedule for the call for proposals and review.**

Schedule for Research Activity Start-up:
- ● Start of the call for proposals: March 1 of the previous fiscal year
- ● Application deadline: mid-May

[Preface]

4. Who is eligible to apply for KAKENHI?

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

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

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

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

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

*A research institution as defined in Article 2 of the Rules for the Handling of Grants-in-Aid for Scientific Research (announced by the Ministry of Education, Culture, Sports, Science and Technology (MEXT))
   1) Universities and inter-university research institutes
   2) MEXT facilities and other institutions engaged in scientific research
   3) Technical colleges
   4) Institutions designated by the MEXT Minister

[When applying]

(2) Applicants should not be designated as ineligible for grant acquisition for said fiscal year, as a penalty for his/her improper grant spending, fraudulent grant acquisition, or research misconduct using the Grants-in-Aid for Scientific Research (KAKENHI) or other competitive research funding.

(Note) There are research categories such as "Encouragement of Scientists" and "Research Activity Start-up" that differ in eligibility for the KAKENHI application, so please make sure to confirm the Application Procedures for the Grants-in-Aid for Scientific Research when applying.

[When applying]

5. What issues need to be considered when applying?

> Applicants should carefully confirm the contents of the Application Procedures for Grants-in-Aid for Scientific Research (KAKENHI).

○ **KAKENHI provides financial support for creative and pioneering research conducted by individual researchers. Therefore, the contents of the research proposal must be original planned by the applicant.**

○ **Applicants must complete the following three matters before applying.**

(1) **Ascertainment of the Eligibility for KAKENHI Application (see page 9 "4.Who is eligible to apply for KAKENHI??")**

(2) **Confirmation of the Researcher Information Registered**
- The procedures for registration of researcher information and for revision of that information are performed by your research institution using e-Rad. Applicants should check with the person responsible for this in their research institutions for details of the procedures.

(3) **Obtainment of an ID and a Password for e-Rad**
- Your e-Rad ID and password are provided by your research institution.

○ **Applicants should pay particular attention to the following matters when applying.**

- When applying for multiple research projects, make sure to eliminate unreasonable duplications and excessive concentration, and avoid violation of the restrictions on parallel submission of research proposals.
- Avoid errors or omissions in filling out the information on the application form.
- The format of the application documents may not be changed.
- When adding a Co-Investigator to the Project Members List, you must obtain the consent of the perspective Co-Investigator as well as his/her research institution.

○ **The corrections and resubmission cannot be accepted after the application documents have been submitted via the Electronic Application System.**

A research team consists of a Principal Investigator, Co-Investigator(s) and Research Collaborator(s). They are defined as follows.

○ **Principal Investigator (a member of a funded project)**
A researcher with full responsibility for the implementation of the funded project.

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

○ **Research Collaborator (not a member of a funded project)**
A researcher who provides cooperation in carrying out the funded project.
- Even a person who is not eligible to apply for the Grants-in-Aid for Scientific Research can participate as a Research Collaborator.
- A Research Collaborator does not have discretion regarding the use of the Grants-in-Aid for Scientific Research.

(Note) The category of Collaborating Researcher has been abolished since April 2018 and has been integrated under the Research Collaborator category.

(Reference)
- The Integrated Innovation Strategy 2020 states that "Regarding the acceptance of funds from foreign countries, we [the Government of Japan]

will make information disclosure of the situation, etc. as a requirement at the time of a research funds application." In response, starting from the FY2021 call for proposals, it is clearly stated that applicants submitting KAKENHI grant applications must <u>declare any foreign research funds</u> in "The Status of Application and Acquisition of Research Grants" column in the Research Proposal Document.

- In future KAKENHI grant applications, be sure to <u>enter all competitive research funds as well as any research funding, including subsidies from private foundations, funds for contract research and joint research</u>.

6. How are applications reviewed?

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

(*) Peer review refers to a process of reviews carried out by peers. For Grants-in-Aid for Scientific Research (KAKENHI), prominent researchers who work hard at each academic field and stand at the front of knowledge creation, review and assess the applications for their peers.

○ **More than 8,000 researchers are involved in the review process.**

- In order to ensure the fair selection of the highest-quality review committee members, JSPS makes use of a database of review committee candidates (with approximately 136,000 persons registered) consisting largely of researchers who themselves were selected for the KAKENHI funding.

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

○ **Disclosure of the review results for research projects that were not adopted**

- As for some research categories such as the Grant-in-Aid for Specially Promoted Research, the Grant-in-Aid for Scientific Research (S/A), and the Grant-in-Aid for Challenging Research (Pioneering/Exploratory), where the Comprehensive Review is conducted, the approximate ranking, the opinions expressed in the review results, and some other items will be disclosed.
- As for some other research categories such as the Grant–in-Aid for Scientific Research (B/C) and the Grant-in-Aid for Early-Career Scientists, where Two-Stage Document Review is conducted, the approximate ranking, the review results by rating elements, the standard-format opinion, and some other items will be disclosed.

[When applying]

○ Audit of review

- From the standpoint of fairness of the review process, JSPS verifies and analyzes, for both document reviews and panel reviews, matters such as whether any favors are dispensed and whether reviews are conducted in accordance with the review rules. As a result of this verification process, if any review committee member is found to be dispensing favors or to have conducted reviews not in accordance with the review rules, such findings will be taken into account appropriately when selecting the reviewers for the next fiscal year and beyond.

○ Disclosure of the review policies and criteria

- For information on the review and evaluation, please refer to the MEXT and JSPS KAKENHI websites.

  Ministry of Education, Culture, Sports, Science and Technology (MEXT):
  https://www.mext.go.jp/a_menu/shinkou/hojyo/1284403.htm

  Japan Society for the Promotion of Science (JSPS):
  https://www.jsps.go.jp/j-grantsinaid/01_seido/03_shinsa/index.html

> **The KAKENHI review process is possible thanks to the cooperation of researchers. JSPS asks researchers' positive participation in the review process.**

[When applying]

○ Review methods (Two-Stage Document Review and Comprehensive Review)

New review methods have been introduced since FY2018 (Call for Proposals of September 2017).

[Two-Stage Document Review]

(Example) Grants-in-Aid for Scientific Research (B/C) and Early-Career Scientists

Each proposal for the Scientific Research (B) is reviewed by six reviewers; each proposal for the Scientific Research (C) and the Early-Career Scientists is reviewed by four reviewers.
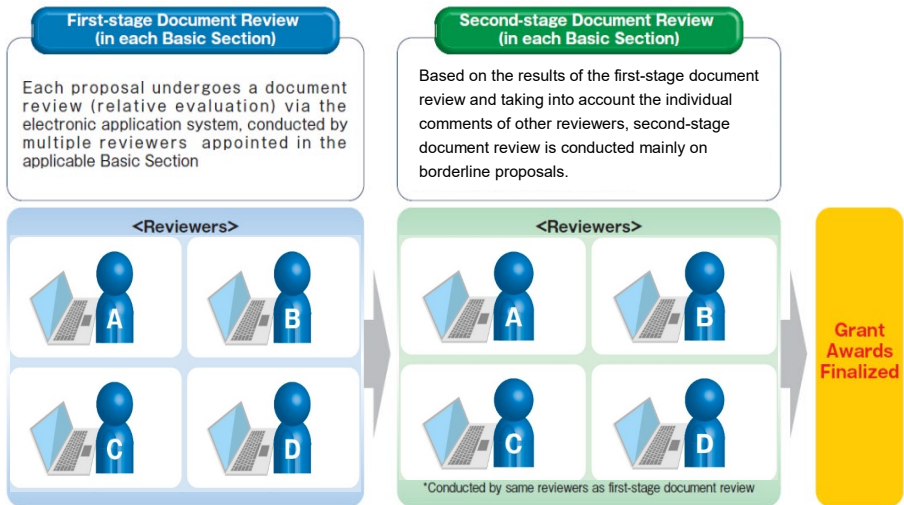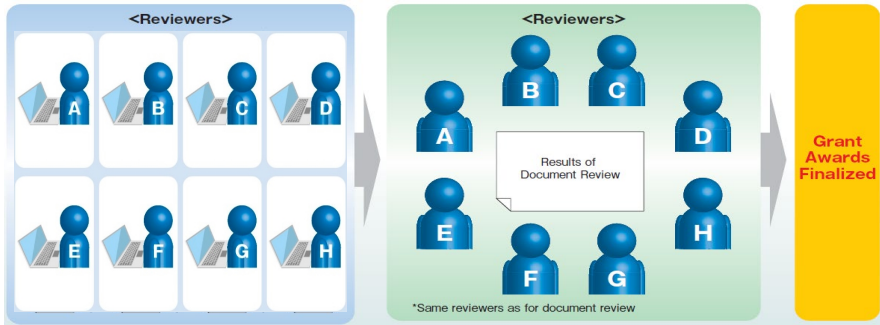

[Comprehensive Review]

(Example) Grants-in-Aid for Scientific Research (A) and Challenging Research

Between six and eight reviewers are appointed for each proposal in the Scientific Research (A) and the Challenging Research categories, and each proposal is subject to both a document review and a more thorough and multi-faceted panel

review. In the event that a large number of applications are received, the review may include processes such as a preliminary screening (the Challenging Research only) or a random assignment of research proposals.

*For the Scientific Research (S), in addition to the Comprehensive Review, the review comments produced by researchers specializing in closely related areas are utilized taking into account the specialized nature of applications.

[When applying]

7. When do the research grants become available for use?

> KAKENHI funding can be used without interruption after the date of notice of provisional grant decision (*) in the initial fiscal year until the end of the final fiscal year.

Item	Single-year Grants	Multi-year Fund
Start of research work (Notice of provisional grant decision (*)) (Notes 1, 2)	New projects: April 1 (Except for some research categories)	
	Continued projects: April 1	Continued projects: There is no need to be concerned about fiscal years during the research period.
	○ After the notice of provisional grant decision (*), the necessary contracts (e.g., purchasing of items and hiring of Research Collaborators, etc.) can be concluded and actual research activities can be started before the KAKENHI funding is disbursed and received.	
Deadline for the delivery of goods and provision of services necessary for the research	By March 31 of each fiscal year	Can be used at any time during the research period beyond the fiscal year.
	○ For details, contact your research institution.	

Others	If there is an unused amount at the end of the research project period, it should be returned.
	○ Returning any unused amounts will not cause disadvantage for subsequent KAKENHI reviews.

(*) This rule is applicable to FY2021 research projects. Rules for FY2022 research projects are subject to changes and will be notified to the grant recipients at a later date.

(Note 1) The research grants to the research institutions will be remitted around July for the first term disbursement and around October for the second term.

(From the second fiscal year for Multi-year Fund onward, the first term research grant will be disbursed at the beginning of the fiscal year.) As for necessary expenses, research institutions should make payments after receiving the research grants or they should pay temporarily and should be reimbursed after receiving research grants. Recipients of grants should ask your research institutions for any clarification.

(Note 2) Please keep in mind that in the case of new projects for the Fund for the Promotion of Joint International Research (Fostering Joint International Research (A), Home-Returning Researcher Development Research), the start of research work is not on the day the notice of provisional grant decision is issued, but on the day the form for formal application for grant delivery is submitted.

8. What is management by research institutions?

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

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

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

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

○ **When using the KAKENHI funding, researchers should observe the Supplementary Conditions and the Funding Conditions in the Spending Rules, as well as the accounting rules prescribed by research institutions to which they belong.**
- If you have any question similar to those below concerning the purchasing of goods, please ask to the person in charge of managing the KAKENHI funding at your research institution.
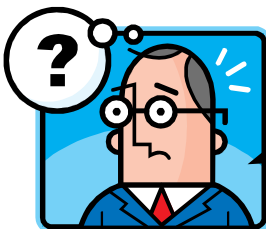
✓ **Can faculty order goods?**
✓ **What about delivery inspection?**
✓ **Is payment done in advance?**
✓ **Or is it payment upon completion?**
Etc…

9. What does direct expenses cover?

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

○ **Direct expense can be used broadly for expenses necessary to carry out the research project (including the expenses for compiling research results).**

○ **Items such as those listed below are not recognized as direct expense. Reminders are given through specification in the Spending Rules, etc.**

- Costs for buildings and facilities (excluding costs for installation, etc. that are necessary in order to install goods that are purchased using direct expenses).
- Costs for handling accidents or disasters that occur during the implementation of the research project.
- Personnel costs/honoraria for the Principal Investigator or Co-Investigator(s).
- Other costs that should be covered by indirect expenses.

○ **The Principal Investigator and the Co-Investigator(s) are obliged to take accountability for the judgement on the spending and the use of the expenses as member of the funded project.**

○ **When using the research grant, you are requested to consider whether it is socially acceptable to pay out as direct expense for scientific research and whether the priority of use of direct expense is appropriate, as well as to use the grant in accordance with the terms of the Spending Rules and regulations of your research institution.**

> Direct expenses may be used in combination with other funds under certain conditions.
> Please make efforts in an effective and efficient use of KAKENHI funding through efforts such as a combined use with other expenses and a communal use of facilities.

○ **Other expenses without <u>restrictions on use</u> can be added to the direct expense and used for the funded project.**

○ **Combining the direct expense with other non-KAKENHI expenses (that have restrictions on use) is acceptable subject to identifying the expenditure demarcation [*1].**

○ **Combining the direct expenses of different KAKENHI funding is acceptable subject to identifying the expenditure demarcation, and also, under certain conditions, by identifying the cost burden of each fund and the basis for calculation[*2] starting in the FY2020 Call for Proposals.**

(Note 1) Cases in which the amounts covered by each of the funds can be identified objectively, such as itinerary (one-way trip or round trip), purchased quantities, and efforts.

(Note 2) Cases in which the basis for the classification of expenditures, such as (estimated) percentage of use, number of research projects, and (estimated) project period, can be sorted out and explained in a rational way.

〇 **Facilities to be shared among multiple research projects can be purchased not only by combining funds among different KAKENHI funding, but also by adding research funds that allow purchasing of equipment by combining funds[3] with direct expense.**
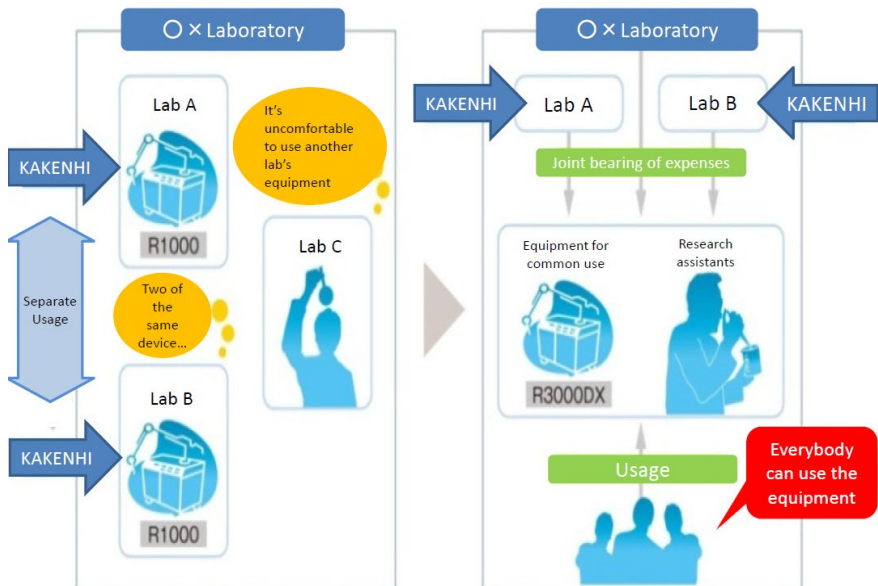
(Note 3) See the following website.

"Concerning the purchase of joint-use facilities with funds from different research funds (a combined use)"

https://www.mext.go.jp/content/20200910-mxt_sinkou02-100001873.pdf

< Image of facilities shared among multiple research projects>

(Example: Image of combining different KAKENHI funding)

○ As long as it does not interfere with the research for which the facility was purchased, the facility may be used for other research as well.

When using research funds you must follow the rules prescribed by your research institution. If you wish to combine funds, consult with the person in charge at your research institution

10. What are indirect expenses?

> Indirect expense is the funds provided to the research institution to support the research activities for which the KAKENHI funding was granted, as well as to upgrade its research environment.

○ **Indirect expenses are expenses for research institutions delivered at a fixed ratio to the direct expense.**

- The amount equivalent to thirty percent of the direct expense will be provided as indirect expense apart from the direct expense.

○ **Research institutions may use the indirect expense to improve the R&D environment of researchers who obtain competitive research fund and/or improve the functions of the overall research institution.**

< Examples of how indirect expense can be used >

- Personnel costs (Use for personnel costs for the Principal Investigator and Co-Investigator(s) is not prohibited.)
- Assignment of technical personnel for the sharing and maintenance of joint-use equipment
- Facility costs (maintenance and management costs, etc.)
- Equipment costs (purchase costs, operation costs, etc.)
- Library costs (costs for improvement, maintenance, and management of facilities)
- Academic journal subscription fee, paper submission fee (article publication charge)
- Consumables expenses for shared photocopy machines, printers, etc.
- Costs of research publicity activities
- Necessary costs for management procedures related to competitive research funding
- Patent application fees, patent attorney fees, costs of request for review, etc.

11. Can a research plan be modified?

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

○ **Changing the allocation of direct expense (within a range of 50% of the total amount of the direct expense)**

- For each cost item (purchase of goods, travel expenses, personnel costs/honoraria, miscellaneous expenses), the allocation of expenses can be changed freely within a range of fifty percent of **the total amount of the direct expense (*)** (or, when fifty percent of the direct expense is three million yen or less, up to three million yen).

  (*) The total amount of the direct expense:
  Single-year Grants : the decided expense amount of each fiscal year
  Multi-year Fund : the decided expense amount for the entire research period spanning several fiscal years

○ **Changing the following items entered in the form for formal application for grant delivery**

- Division of roles, direct expense (allocation of shares of each researcher) (change in amount of shares), research implementation schedule, breakdown of the major goods, etc.

○ **Making partial changes to the on-going research plan without applying to JSPS is expected as long as such changes are within the research objectives described in the formal application for grant delivery. However, decisions should be made appropriately from the standpoint of carrying out research effectively in order to achieve the original research objectives.**

> The following changes can be made through the appropriate procedures. (Application and/or notification to JSPS is required.)

〇 **Major changes in the allocation of direct expense**

- Researchers need to go through the necessary procedures in advance for changing the allocation to each cost item if the amount of the change exceeds fifty percent of **the total amount of the direct expense (*)** (or, when fifty percent of the direct expense is three million yen or less, up to three million yen).

   (*) The total amount of the direct expense:

   Single-year Grants ：the decided expense amount of each fiscal year

   Multi-year Fund   ： the decided expense amount for the entire research
                        period spanning several fiscal years

〇 **Addition or removal of a Co-Investigator**

- Applicants should be careful about what cases fall under addition or removal of a Co-Investigator. For example, changing a Co-Investigator to a Collaborating Researcher participating on the same research team amounts to removal of a Co-Investigator.

〇 **Extension of the research period due to maternity or childcare leave.**

〇 **Extension of the research period due to research stay abroad, etc.**

- Researchers can flexibly extend the funded research period based on the length of time the funded research was suspended due to research stay abroad, etc.

○ **Change in research institution to which the Principal Investigator belongs**

- If the applicant moves to other research institution that is not eligible for receiving KAKENHI funding, the continuation of the research using KAKENHI funding will not be permitted.

○ **Extension of the period of the funded project**

- The Multi-year Fund can be extended for a period of one year $^{(*)}$ by going through the procedures for the acceptance of extension of the funded project during the last year of the project. (In the case of Single-year Grants, the carryover procedures are necessary.)

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

12. How to spend the Series of Single-year Grants

As the official grant decision is made for each fiscal year, research grants must be used by the end of each fiscal year. If certain conditions are met, you can use the grants ahead of schedule or carry over to the next fiscal year.

○ **Even if a funded research project is planned for a multi-year period, the provisional grant decision and the official grant decision on the research grant for the Series of Single-year Grants will be made only for the relevant fiscal year on an annual basis.**

○ **If the funded project is not expected to be completed for unavoidable reasons that could not be anticipated at the time of the official grant decision, the research grant can be carried over to the next fiscal year for use following necessary procedures.**
- When the circumstances fall under any of the reason(s) of carryover, the research grant can be carried over even if it occurs in the first year or the final year of the project period.
- There are no restrictions on parallel grant applications between an on-going research project for which the research grant is carried over and new research proposal(s) you are intending to submit.
- Please refer to the following website for details on carryover application.
  Ministry of Education, Culture, Sports, Science and Technology (MEXT):
  https://www.mext.go.jp/a_menu/shinkou/hojyo/1299857.htm
  Japan Society for the Promotion of Science (JSPS):
  https://www.jsps.go.jp/j-grantsinaid/16_rule/rule.html#kurikoshi

○ **By using the Adjustment Funds, Single-year Grants can be used ahead of schedule or in the next fiscal year subject to certain conditions.**

- Please refer to the following website for details on the Adjustment Funds.

  Ministry of Education, Culture, Sports, Science and Technology (MEXT):

  https://www.mext.go.jp/a_menu/shinkou/hojyo/1330870.htm

  Japan Society for the Promotion of Science (JSPS):

  https://www.jsps.go.jp/j-grantsinaid/16_rule/rule.html#tyousei

13. How to spend the Multi-year Funds

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

○ **The research grants for Multi-year Funds are budgeted at one time, so for funded research projects planned for a multi-year period, JSPS makes the provisional grant decision and the official grant decision on a research grant for the entire research period in the first year.**

○ **The research grants can be used ahead of schedule based on the progress of the research.**

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

○ **During the period of the funded project, goods can be purchased over multiple fiscal years.**

As for FY2021, the research categories funded by the Multi-year Fund are as follows:

-Grant-in-Aid for Scientific Research (C)

-Grant-in-Aid for Challenging Research (Pioneering / Exploratory)

-Grant-in-Aid for Young Scientists (B)

-Grant-in-Aid for Early-Career Scientists

-Grant-in-Aid for Research Activity Start-up

-Grant-in-Aid for Special Purposes

-Fund for the Promotion of Joint International Research (Fostering Joint International Research (A/B), Home-Returning Researcher Development Research and International Activities Supporting Group)

-Grant-in-Aid for Scientific Research (B) (application section "Generative Research Fields")

14. What assessments are performed during and after the research period?

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

○ **Self-assessment is conducted for all research projects after the end of each fiscal year (when preparing the Report on the Results, etc.).**

○ **In the case of the Specially Promoted Research and the Scientific Research (S), an interim assessment by documentation or interview will be conducted around the middle of the research period. An ex-post assessment in writing will be conducted in the fiscal year following the end of the research period.**

- In the case of the Specially Promoted Research and the Scientific Research (S) adopted in FY2017 and before, a research progress assessment is to be carried out in the fiscal year before the final fiscal year of the research period.
- Starting in FY2018, for the Specially Promoted Research, follow-up surveys will also be performed in the third fiscal year after the completion of the research period.

○ **For the Scientific Research on Innovative Areas, an interim assessment by means of documents, interviews, etc. is carried out in the third fiscal year of the set period for the research area, and an ex-post assessment in the fiscal year following the end of the set period for the research area.**
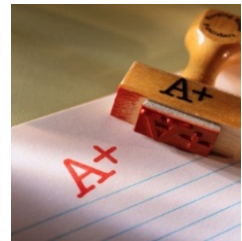
○ For the Transformative Research Areas (A) an interim assessment by means of documents, interviews, etc. is to be carried out in the fourth fiscal year of the set period for the research area, and an ex-post assessment in the fiscal year following the end of the set period for the research area.

○ The results of the self-assessment, the research progress assessment, the interim assessment, and the ex-post assessment above will be made public through the Grants-in-Aid for Scientific Research Database (KAKEN).

15. How are the research results and achievements reported?

> Reporting and publicizing the research results and achievements are important for promoting the use of the research achievements in society and for deepening public understanding on the Grants-in-Aid for Scientific Research program.

○ **Submitting a Report on the Results is mandatory.**
- Researchers should submit a report on the results using the designated form upon completion of the research or at the end of each fiscal year (if the carryover of the research grant is approved).
- For the KAKENHI of Multi-year Funds, researchers must submit a report on the status of implementation for each fiscal year, and a report on the results should after the end of the research period using the designated form.

○ **Submitting a Report on the Research Achievements is also mandatory.**
- When the research period is completed, researchers should submit a Report on the Research Achievements.

○ **Since the KAKENHI is funded by such as taxes which are collected from people, researchers are required to explain the acquired results and achievements to the society and people as clearly as possible.**

○ **The submitted Report on the Research Results, the Report on the State of Research Implementation, and the Report on the Research Achievements are published using the Grants-in-Aid for Scientific Research Database (KAKEN) of the National Institute of Informatics.**

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

<div style="border:1px solid">

Grants-in-Aid for Scientific Research Database (KAKEN) is a database created and made public by the National Institute of Informatics（NII） in cooperation with MEXT and JSPS.

</div>

〇 **On KAKEN, the following information is recorded, disclosed and made available for use to the public.**

KAKEN Grants
Grants-in-Aid for Scientific Research Database

Database of Grants-in-Aid for Scientific Research(KAKEN) is a public database which includes information on adopted projects, assessment, and research achievements from the Grants-in-Aid for Scientific Research(KAKENHI) Program. This system is hosted by the National Institute of Informatics (NII) in cooperation with MEXT and JSPS.

| | Search |
■ Full-Text Search   ∨ Advanced Search

(NII) Grants-in-Aid for Scientific Research Database (KAKEN)

https://kaken.nii.ac.jp/en/

*Update schedule is tentative. The content and timing of the posting will vary depending on research category.

〇 **Information on Adopted Projects（Updating: provisional grant decision- around late April; official grant decision- around July）**
・ Disclosure information includes "Title of the Research Project"; "Name, Position and Affiliated Research Institution of the Principle Investigator"; "Research Outline(*1)"; "Budget Amount".

*1 "Research Outline" column described in the form of the formal application for grant delivery is disclosed to provide to the public at large with the contents of the research at time of its start in an easy-to-understand form.

〇 **Information on the State of Implementation, the Results and the Research Achievements**
・ Disclosure information includes Outline of Annual/Final Research Achievements, the yearly self-assessment including Research Progress

Status and Strategy for Future Research Activity, and the research achievements(*2) including research paper.

(Updated around early November to late December)

・Disclosure of the Report on the Research Achievements in PDF format.

(Updated around January to March)

*2 Research papers will be accessible through KAKEN by disclosing the digital object identifier (DOI) of the paper published in the academic journal.

○ **Information on Review and Assessment**
・Disclosure of the Opinions Expressed in the Review Results.
・Disclosure of reports and results of the interim assessment, the research progress assessment and the ex-post assessment in PDF format.

If researchers presented the research achievements in public, researchers should make sure to indicate it that the obtained as a result of the KAKENHI. (Please remember to include this in the acknowledgement)

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

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

Researchers should be sure to follow this procedure.

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

When one KAKENHI has been used to write the paper (Grant Number12K34567)
- English: This work was supported by JSPS KAKENHI Grant Number JP12K34567.
- Japanese: 本研究は JSPS 科研費 JP12K34567 の助成を受けたものです。

When multiple KAKENHI have been used to write the paper (three in this case) (Grant numbers xxxxxxxx, yyyyyyyy, zzzzzzzz)
- English: This work was supported by JSPS KAKENHI Grant Numbers JPxxxxxxxx, JPyyyyyyyy, JP zzzzzzzz.
- Japanese: 本研究は JSPS 科研費 JPxxxxxxxx, JPyyyyyyyy, JPzzzzzzzz の助成を受けたものです。

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

Japan Society for the Promotion of Science (JSPS):

https://www.jsps.go.jp/j-grantsinaid/01_seido/01_shumoku/index.html

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

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

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

KAKENHI logo

科研費
KAKENHI

The logo can be downloaded from the following websites.

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

Japan Society for the Promotion of Science (JSPS):
 https://www.jsps.go.jp/j-grantsinaid/06_jsps_info/g_120612/index.htm

○ **Papers supported by the KAKENHI Researches are, as a principle, to be handled under the open access policy.**

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

Japan Society for the Promotion of Science (Implementation Policy):

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

○ **Your active registration on the researcher information including research achievements into "researchmap" is requested.**

"Researchmap" (https://researchmap.jp/) is a researcher information database that is one of the largest and serves as a comprehensive list of Japanese researchers. Registered information on research results can be openly

disseminated over the Internet. "Researchmap" is linked to e-Rad and many university faculty databases. Furthermore, the Japanese Government has planned to utilize further "researchmap". Researchers are requested to register actively in "researchmap".

16. What happens if the rules are not followed?

Those who fail to use the funds appropriately according to the rules may be subject to penalties, including restrictions on funding, returning of funds, and restrictions on applying for funding, and/or subject to criminal charges.

◆ **Improper Grant Spending**：

To use the funds for other purposes, intentionally or by gross negligence, for example, to conduct fictitious business transactions ("*azukekin*") with a contractor through fictitious order placements, or to charge costs higher than actually needed for personnel, travel expenses, etc., or to use of funds in violation of the content of the funding decision or the conditions implied thereof.
- Return of the KAKENHI funding: part or the entire amount
- Suspension of eligibility to apply: for one to ten years
  (The researcher fraudulently using the funds, those who conspired in improper grant spending, and those responsible for managing the grant that was spent improperly.)

◆ **Fraudulent Grant Acquisition**：

To receive funds by deception or other fraudulent means, for example, to apply under the name of another researcher, or to make false entries in the application documents
- Return of the KAKENHI: the entire amount
- Suspension of eligibility to apply: five years
  (The researcher receiving the funds and those who were involved.)

◆ **Research Misconduct：**

Fabrication, falsification, or plagiarism of data, information, or findings published research achievements, etc., intentionally or due to failing of the basic duty of care that a researcher should know.
• Return of the KAKENHI: part or the entire amount
• Suspension of eligibility to apply: from one to ten years
(The individual found to have been involved in research misconduct and persons responsible for the contents of the paper, etc., affected by the research misconduct.)

○ **The funding of grants will also be suspended for research projects that already have been adopted. It will also become impossible for the Co-Investigators who have been allotted funds to receive a share of these funds.**

○ **In principle, an outline of the fraud, including the names of researchers found to have committed fraud, is made public.**

○ **Applications for, and participation in, competitive research funds other than the KAKENHI may be limited.**

Fraudulent grant acquisition, improper grant spending, and research misconduct while conducting research will undermine public trust in scientific research as a whole. It is, therefore, vital that those who utilize public research funds conduct their research activities in accordance with appropriate research ethics.

17. What is the code of conduct for scientists to adhere?

○ **Both to ensure the quality of scientific knowledge and for individual scientists and scientific community to gain the trust of society, it is essential to conduct their research activities fairly and conscientiously with the adherence to the code of conduct for scientists.**

Take careful note of both the statement "Code of Conduct for Scientists" (section I. "Responsibilities of Scientists") by the Science Council of Japan and also the contents of "For the Sound Development of Science - The Attitude of a Conscientious Scientist -" (especially section I "What Is a Responsible Research Activity?") issued by the Japan Society for the Promotion of Science (JSPS).

【**Extraction from "Code of Conduct for Scientists – Revised Version –" by the Science Council of Japan dated on January 25, 2013**】

I. Responsibilities of Scientists

(Basic Responsibilities of Scientists)

1 Scientists shall recognize that they are responsible for assuring the quality of the specialized knowledge and skills that they themselves create, and for using their expert knowledge, skills and experience to contribute to the health and welfare of humankind, the safety and security of society and the sustainability of the global environment.

(Attitude of Scientists)

2 Scientists shall always make judgments and act with honesty and integrity, endeavoring to maintain and improve their own expertise, abilities and skills, and shall make the utmost effort to scientifically and objectively demonstrate the accuracy and validity of the knowledge they create through scientific research.

(Scientists in Society)

3 Scientists shall recognize that scientific autonomy is upheld by public trust and the mandate of the people, understand the relationships between science, technology, society, and the natural environment from a wide-ranging perspective, and act in an appropriate manner.

(Research that Answers to Social Wishes)

4 Scientists shall recognize that they are responsible for answering to the wishes of society to investigate into truths and to achieve various issues. When using research funds that are to be provided for establishing the research environment and for conducting research scientists shall always recognize that such broad social expectations exist.

(Accountability and Disclosure)

5 Scientists shall strive to disclose and actively explain the roles and significance of their own research, evaluate the possible effects of their research on people, society and the environment as well as the changes that their research might engender, neutrally and objectively disclose the results of this evaluation, and build a constructive dialogue with society.

(Dual Use of Scientific Research Outcomes)

6 Scientists shall recognize that there exist possibilities that their research results, contrary to their own intentions, may be used for destructive actions, and shall select appropriate means and methods as allowed by society in conducting research and publicizing the results.

"Code of Conduct for Scientists" by the Science Council of Japan: http://www.scj.go.jp/ja/scj/kihan/

【**"For the Sound Development of Science – The Attitude of a Conscientious Scientist –" by the Japan Society for the Promotion of Science (JSPS)**】

(Japanese version (text version)) ("For the Sound Development of Science" Editorial Committee on JSPS): https://www.jsps.go.jp/j-kousei/data/rinri.pdf

⭕ Participation in a research ethics education coursework and compliance education, etc.

The Principal Investigators and Co-Investigators are asked to engage in research activities after learning the ethical standards demanded of researchers, etc. by participating in the research ethics education coursework and compliance education implemented by their research institutions.

⭕ Participation status in a research ethics education coursework, etc. will be confirmed on the occasion of the formal application for grant delivery and the request for payment.

Participation status in a research ethics education coursework, etc. for the Principal Investigators and the Co-Investigators will be confirmed on the occasion of the formal application for grant delivery and the request for payment into the electronic application system. Please make sure to participate in the research ethics education coursework, etc. in accordance with the research institutions policy on the research ethics education coursework, etc.

In addition, as JSPS provides research ethics educational materials such as the "For the Sound Development of Science -The Attitude of a Conscientious Scientist-" (Green Book), and the "e-Learning Course on Research Ethics [eL CoRE]" based on the Green Book, so please utilize them appropriately.

Japan Society for the Promotion of Science (JSPS):

https://www.jsps.go.jp/j-kousei/rinri.html

⭕ Ensuring Research Integrity

⭕ In order to promote science, we must continue to strengthen overseas joint research with various partners based on the principle of open science. At the same time, in light of newly emerging risks as a consequence of the globalization and openness of research activities in the recent years, there is a

growing concern that researchers are unknowingly being trapped in conflict of interest or conflict of responsibilities.

○ As such, researchers should endeavor to ensure the transparency of and have full accountability for their research activities particularly when engaging in global collaboration, and appropriately report and declare any necessary information in accordance with the rules, etc. of your affiliated institutions and research funding agencies.

○ For details, visit the following website:

"Policy on Measures to Ensure Research Integrity Against New Risks as a Consequence of the Globalization and Openness of Research Activities" (April 27, 2021)

Cabinet Office: https://www8.cao.go.jp/cstp///tougosenryaku/9kai/9kai.html

> Depending on the research contents, necessary procedures may be stipulated by laws and guidelines.

In addition to the below, laws and regulations, guidelines, etc. may be stipulated according to research contents.

Research Contents Included in the Research Plan	Related Laws and Guidelines
Medical and Biological Research Involving Human Subjects	○Ethical Guidelines for Medical and Biological Research Involving Human Subjects
Research Including the Handling of Specified Embryos	○Act on Regulation of Human Cloning Techniques ○Ordinance for Enforcement of the Act on Regulation of Human Cloning Techniques ○Guidelines on the Handling of Specified Embryos
Research Including the Derivation and Utilization of Human Embryonic Stem Cells	○Guidelines on the Derivation of Human Embryonic Stem Cells ○Guidelines for the Distributing Institute of Human Embryonic Stem Cells ○Guidelines on the Utilization of Human Embryonic Stem Cells

Research Including Producing Germ Cells from Human iPS Cells, etc.	○Guidelines on the Research on Producing Germ Cells from Human iPS Cells or Human Tissue Stem Cells
Research on Assisted Reproductive Technology Treatment	○Ethical Guidelines for Research on Assisted Reproductive Technology Treatment Producing Human Fertilized Embryos ○Guidelines for Research Using Gene-altering Technologies on Human Fertilized Embryos
Clinical Trials on Gene Therapy etc.	○Ethical Guideline for Clinical Trials on Gene Therapy, etc.
Research Including Genetic Modification Experiment	○Act on the Conservation and Sustainable Use of Biological Diversity through Regulations on the Use of Living Modified Organisms, etc.
Research Plan Including Research Using Pathogens, etc.	○Act on the Prevention of Infectious Diseases and Medical Care for Patients with Infectious Diseases
Studies Involving Animal Experiments	○Fundamental Guidelines for Proper Conduct of Animal Experiment and Related Activities in Academic Research Institutions
Studies Involving Provision of Technology for which the Influence on Nonresidents or Foreign Countries is Regulated or Export of Goods	○Foreign Exchange and Foreign Trade Act, etc.

Research Including Acquisition, Bring-in, Purchase and Receipt of Foreign Biological Samples	○The Guidelines on Access to Genetic Resources and the Fair and Equitable Sharing of Benefits Arising from Their Utilization, etc.
○Research that Requires Social Consensus (Consent and/or Cooperation of Person Involved) ○Research that Requires Consideration in the Handling of Personal Information (e.g. Protection of the Confidentiality of Personal Information, Protection of Human Rights)	○Act on the Protection of Personal Information, etc.

The above table is tentative translation.

18. 2018 reform on KAKENHI Review System

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

• The "List of Categories, Areas, Disciplines, and Research Fields" applied in and before FY2017 was abolished and a new "Review Section Table" consisting of a "Basic Section", a "Medium-sized Section", and a "Broad Section" has been adopted for the review.

• Instead of the Two-Stage Review Method in which both the document review and panel review were conducted by different reviewers that was implemented up to FY2017, JSPS introduced the Comprehensive Review in which a document review and panel review are conducted by the same reviewers, and the Two-Stage Document Review in which two document reviews are conducted by the same reviewers. (The review method will differ depending on research category.)

Please refer to the following website for details.

Ministry of Education, Culture, Sports, Science and Technology (MEXT):

"Trend on KAKENHI Reform"

https://www.mext.go.jp/a_menu/shinkou/hojyo/1362786.htm

Diverse scientific research based upon free ideas advanced by KAKENHI open-recruitment and review

Former Review System
(in and before FY2017 Grant)

New Review Section Table and Review System From FY2018 Grants
(from the September 2017 call for proposals)

New Review System

Abolish "List of Categories, Areas, Disciplines, and Research Fields"

Recruit/review applications in more than 400 research fields

*Most of applications are for Scientific Research (C): 321 fields subdivided into 432 Review Sections.

- Scientific Research (S)
- Scientific Research (A)
  - (B)
  - (C)
- Young Scientists (A)
  - (B)

- Fields in most research categories reviewed in same method.
- 2-tier review: document and panel review conducted by different reviewers

  * The "Challenging Research" which "Challenging Exploratory Research" was evolved/reformed and newly introduced at FY2018 Grants is classified as "Medium-sized Section" and is prior to implementation by "Comprehensive Review".

Broad Section
(11 sections recruited/reviewed)
Medium-sized Section compiled into one Review Section.
- Scientific Research (S)

Medium -sized Section
(65 sections recruited/reviewed)
Basic Section compiled into one Review Section.
- Scientific Research (A)
- Challenging Research

Basic Section
(306 sections recruited/reviewed)
Review Sections for various already cultivated science.
- Scientific Research (B)
  - (C)
- Early-Career Scientists

Comprehensive Review
— More diversified —

Same group of researchers comprising various fields conduct document and panel reviews from wide perspective.

*With Scientific Research (S), review comments are used.

- By reviewing grant proposals from multifaceted perspective, projects with high potential selected.
- Comments on how to improve research plans are fed back to applicants.

Two-Stage Document Review
— More efficient —

In adopting grant awardees, same group of researchers carries out two document reviews.

- Each reviewer in the group given a chance to reconsider his/her results by referring to other reviewers' evaluations in second round.
- More efficient as it eliminates need for the group members to meet to do panel review.

※1 The Review Section for the large-scale research category ("Grant-in-Aid for Specially promoted Research ", "Grant-in-Aid for Scientific Research on Innovation Areas") which have been reviewed on "category unit" of Humanities and Social Sciences, Science and Engineering, Biological Sciences. etc. is basically implemented it as it is. As for the review method, we plan to gradually improve it after the review progress of the event.

[Others]

19. Major areas of the recent changes in competitive research grants

○ Self-motivated research activities by young researchers employed with KAKENHI funding

・ A young researcher who is employed with KAKENHI funds (KAKENHI employee) and meets the following conditions, may conduct his/she own research during the working hours assigned for the employment-related work, after going through the necessary procedures set by his/her research institution. He/She can apply for KAKENHI as a PI or become a Co-I.

(1) A young researcher desires on his/her own will to conduct his/she own research.

(2) The PI and Co-I (the employer of the young researcher) desires that the said research has a positive contribution to the promotion of the funded research project for which he/she is employed, and the research institution approves the said decision.

(3) The PI and Co-I judges that the efforts to be spared by the young researcher to the said research within the extent that do not cause any hindrance to the execution of the funded research project for which he/she is employed, and the research institution approves the judgement. (The upper limit of the efforts to be spared to the self-motivated research is 20 percent of the efforts to be put into the funded research project for which he/she is employed.)

[Reference]Attachment 1 to the "Changes in the FY2020 Call for Proposals for Grants-in-Aid for Scientific Research (KAKENHI) and Other Matters" (March 19, 2020) (Excerpt)
JSPS:https://www.jsps.go.jp/j-grantsinaid/06_jsps_info/g_200316/index.html

○ **Direct Expense of Competitive Research Funds to Cover the Costs of Assignments Other Than Research**

・ The cost of "buyout" (*i.e.*, the cost for hiring someone taking over a part of the duties other than research of the Principal Investigator or Co-Investigator(s)) can be covered by the direct expense so that they can secure ample amount of time for research projects (the buyout system).

・ Starting from the FY2021 Call for Proposals, the buyout system is applicable in the research categories listed below. A KAKENHI applicant who wish to use the buyout system should do so according to the buyout scheme agreed upon between him/her and his/her research institution.

    [Research categories subject to the buyout system]

        Specially Promoted Research, Transformative Research Areas, Scientific Research on Innovative Areas (Research in a Proposed Research Area) (excluding "Platforms for Advanced Technologies and Research Resources"), Scientific Research, Challenging Research (including "Challenging Exploratory Research"), Early-Career Scientists (including "Young Scientists (A/B)"), Research Activity Start-up, Fostering Joint International Research (B), Home-Returning Researcher Development Research (limited to those who belongs to the domestic research institutions), Special Purposes.

    [Reference]"Amendment Enabling Direct Expense of Competitive Research Funds to Cover the Costs of Duties Other Than Research (Introduction of Buyout System)" (October 9, 2020, Agreement of the Liaison Meeting of Related Offices and Ministries on Competitive Research Funds)

     https://www.mext.go.jp/a_menu/shinkou/torikumi/1385716_00003.htm