Handbook
for easy use of
KAKENHI
Grants-in-Aid for Scientific Research
(For Researchers)

April 2009
M E X T
J S P S
Preface

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

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

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

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

Classification of the research and the positioning of the Grants-in-Aid for Scientific Research by the Government

<table>
<thead>
<tr>
<th>Initiative</th>
<th>Contents, Researchers, Organizations, etc</th>
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<tbody>
<tr>
<td>Led by the government <strong>[mission-oriented research]</strong></td>
<td>Implementation of national projects led by the government</td>
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<tr>
<td>Based on researchers’ creative ideas <strong>[curiosity-driven research]</strong></td>
<td>Promotion of research for specified purposes at inter-University Research Institute and university established, etc.</td>
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<tr>
<td>Promotion of research by Grants-in-Aid for Scientific Research</td>
<td>Implementation of open-type research for purposes set independently by each ministry</td>
</tr>
<tr>
<td>Promotion of research by providing basic expenses</td>
<td>Set in advance</td>
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Grants-in-Aid (¥197 billion) account for about 40% of the Japanese government’s overall competitive funding (¥491.3 billion).
<table>
<thead>
<tr>
<th>Categories</th>
<th>Objective</th>
<th>Function</th>
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<tbody>
<tr>
<td>Grants-in-Aid for Scientific Research</td>
<td>Internationally appraised research expected to produce outstanding results</td>
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<td></td>
<td>· 3–5 years</td>
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<tr>
<td></td>
<td>· 500 million yen or more per project</td>
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<tr>
<td>Specially Promoted Research</td>
<td>Highly responsive research on issues of urgent societal needs that require global collaboration</td>
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<tr>
<td></td>
<td>· 3–6 years</td>
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<td></td>
<td>· 20–600 million yen yearly per area</td>
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<tr>
<td>Scientific Research on Priority Areas</td>
<td>(Research in a proposed research area) Joint research in new disciplines that contributes to elevating Japan’s scientific standard and fostering young researchers.</td>
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<td></td>
<td>· 6 years</td>
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<td></td>
<td>· 10–300 million yen yearly per area</td>
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<tr>
<td>Scientific Research on Innovative Areas</td>
<td>(Research under a proposed research project) Innovative topical research with potential for scientific breakthroughs, without a guarantee of good results.</td>
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<tr>
<td></td>
<td>· 3 years</td>
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<tr>
<td></td>
<td>· 10 million yen yearly</td>
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<tr>
<td>Scientific Research</td>
<td>Leading-edge research by a researcher or a small group of researchers</td>
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<tr>
<td></td>
<td>· 5 years</td>
<td></td>
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<td></td>
<td>· 50–200 million yen per project</td>
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<tr>
<td>(S)</td>
<td>Creative and pioneering research by a researcher or a group of researchers</td>
<td></td>
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<tr>
<td>(A)</td>
<td>· 3–5 years</td>
<td></td>
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<tr>
<td>(B)</td>
<td>· [A] 20–50 million yen per project</td>
<td></td>
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<tr>
<td>(C)</td>
<td>· [B] 5–20 million yen per project</td>
<td></td>
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<tr>
<td></td>
<td>· [C] Up to 5 million yen per project</td>
<td></td>
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<tr>
<td>Challenging Exploratory Research</td>
<td>Research at an early stage with highly challenging goals based on unique concepts</td>
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<td></td>
<td>· 1–3 years</td>
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<td></td>
<td>· Up to 5 million yen per project</td>
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<tr>
<td>Grants-in-Aid for Young Scientists</td>
<td>Research team led by a researcher of up to age 42 start-up grant</td>
<td></td>
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<tr>
<td>(S)</td>
<td>· 5 years</td>
<td></td>
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<tr>
<td>(A)</td>
<td>· 30–100 million yen per project</td>
<td></td>
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<tr>
<td>(B)</td>
<td>Research carried out by individual researcher of up to age 39</td>
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<tr>
<td></td>
<td>· 2–4 years</td>
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<td></td>
<td>· [A] 5–30 million yen per project</td>
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<tr>
<td></td>
<td>· [B] Up to 5 million yen per project</td>
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<tr>
<td>(Start-up)</td>
<td>Start-up research mainly conducted by a newly tenured researcher</td>
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<td></td>
<td>· 2 years</td>
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<td></td>
<td>· Up to 1.5 million yen per year</td>
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<tr>
<td>Encouragement of Scientists</td>
<td>Research carried out by an employee of an educational or research institution or a corporation or any other individual</td>
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<td></td>
<td>· 1 years</td>
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<td></td>
<td>· Up to 1 million yen</td>
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<tr>
<td>Grant-in-Aid for Special Purposes</td>
<td>Urgent and critical research subjects, experimental trials concerning research aid</td>
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<tr>
<td>Grant-in-Aid for Publication of Scientific Research Results</td>
<td>Publishing scientific research results</td>
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<td>Publication of Research Results</td>
<td>Publication of International academic journals</td>
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<td>Scientific Periodicals</td>
<td>Books on research results</td>
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<td>Scientific Literature</td>
<td>Compiling and networking databases</td>
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<tr>
<td>Databases</td>
<td>Research on topics of societal significance conducted by designated private research institutes</td>
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<tr>
<td>Specially Designated Research Promotion</td>
<td>Research by JSPS pre-and postdoctoral fellows (Japanese and overseas researchers)</td>
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<tr>
<td></td>
<td>· Up to 3 years</td>
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<tr>
<td>Grant-in-Aid for JSPS Fellows</td>
<td>To further advance selected components of highly creative research conducted under Grants-in-Aid</td>
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<tr>
<td></td>
<td>· 5 years</td>
<td></td>
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<tr>
<td>Creative Scientific Research</td>
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MEXT is in the process of transferring grant distributions to JSPS.
2. What is the grant application and selection schedule?

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

Applications in each grant category are received once a year.

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

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

For large-scale grant categories such as Specially Promoted Research and Scientific Research (S), the application period is the same; however, the addition of a hearing in the screening process lengthens the screening period, causing a later distribution of the grants.
In the case of Grant-in-Aid for Young Scientists(start-up), the application period differs as follows from the other sub-categories:

- Call for applications: End of February, previous fiscal year

- Application deadline: Mid-May
3. Who is eligible to apply for a grant?

To be eligible to apply for a grant, a researcher must satisfy four criteria.

The following four criteria must have been met at the time the researcher applies for the grant:

Criteria for Researchers

(1) Must be engaged in carrying out grant-supported research activities at an eligible research institution. Must be affiliated with the subject research institution in either a paid, unpaid, full-time or part-time capacity. Researchers whose main duties at the institution are other than the subject research are also eligible.

(2) The researcher must actually be engaged in conducting the subject research at the subject research institution.

The following research institutions are eligible under Article 2 of the Rules for Handling Grants-in-Aid for Scientific Research.

1) Universities and inter-university research institutes
2) MEXT-affiliated institutions that conduct scientific research
3) Technical colleges
4) Other institutions designed by MEXT
Criteria for Research Institutions

(3) If the grant is issued, the research institution must implement the subject research activity as its own project.

(4) If the grant is issued, the research institution must administer the money as its own funds.

Even if they satisfy the above four conditions, institutions found to have mishandled Grants-in-Aid or other competitive funds may not be eligible to receive funding under this program.

When applying, researchers are to confirm with their affiliated research institutions that the above four criteria can be met, and indicate so by registering “eligible to apply for Grant-in-Aid for Scientific Research” on the “Cross-ministerial Research and Development management system(e-Rad)”.

* Researchers who are eligible to apply for a grant via more than one research institution may do so through any of them. However, there is a limit placed on the number of applications that an individual researcher may make.
4. What should be kept in mind when applying?

Be sure to read the application guidelines and screening criteria.

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

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

When preparing a research application, please keep the following points in mind:

- Prepare the plan in accordance with “Procedures for Preparing and Entering a Proposal.”
- At the top of each column on the form are instructions on what is to be entered. Be careful to follow them as the required information is considered during screening.
- Each year, the application screening rules are disseminated. When preparing a research plan, be sure to reference the screening criteria for the subject grant category.
Please pay attention to the following.

Limit on number of applications

A researcher may apply for a grant in more than one grant category. However, if a researcher exceeds the specified application limit, it is possible that none of his/her applications will be reviewed or that he/she will be required to withdraw one or more applications if multiple applications are selected. If you intend to apply for more than one grant, check the application guidelines for established limits and/or inquire at the grant administration office of your research institution.

Erroneous or omitted information in the application

As application screening is based on information called for in the input instructions in the electronic application system, it may not be aborted if required information is omitted or erroneously inputted.

Correction or resubmission of application form

After submitting the application form and required documents, they may not be revised or resubmitted even if the contents contain errors.
Obtaining advanced consent from Co-Investigator (kenkyū-buntansha)

In cases when there is a Co-Investigator (kenkyū-buntansha) in the research group, the Principal Investigator should confirm in advance his/her intent to apply for the grant and obtain “Written Consent of the Co-Investigator (kenkyū-buntansha)” to retain on file.
The Principal Investigator has autonomous responsibility for the use of the *kakenhi* grant. There is also a Co-Investigator (*kenkyū-buntansha*) when another researcher takes responsibility for implementing a part of the funded project and is allowed to use the grant funds at his/her own discretion. Both the Principal Investigator and Co-Investigator (*kenkyū-buntansha*) are classified as members of a funded project.

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

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

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

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

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

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

Each grant category has its own peer review process.

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

Experts in each field (3 or 6 per application) conduct a document review, followed by a panel review carried out by the Selection Committee.

“Scientific Research” and “Grant-in-Aid for Young Scientists”

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

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

For the categories Specially Promoted Research, Scientific Research(S) and Grant-in-Aid for Young Scientists(S)

In the case of applications for large-scale projects, a hearing, conducted by members of the Selection Committee, is added as an extra level of deliberation to the review process.

Application reviews are carried out by MEXT and JSPS in their respective areas of jurisdiction. Altogether, some 6,000 researchers serve as reviewers.
To ensure the impartial selection of high-caliber reviewers, JSPS maintains a database of potential reviewers (about 49,000 registered names) of mainly researchers who have previously been selected for *kakenhi* grants. The database is used to select each year’s reviewers.

Around April of each year, the databased researchers are asked through their affiliated institutions to confirm and update their registered information, as keeping the database current is extremely important in conducting effective reviews.

A check is conducted on the performance of each reviewer and the results are reflected in following year’s reviewer selection process. Should a reviewer be found to lack impartiality, he/she could be disqualified from conducting future reviews and/or other action taken.

From FY 2008, a system has been implemented to officially recognize application examiners whose screening comments are exemplary. The selections are made by reviewing all of each year’s examiners’ screening results.
The reason for non-selection is provided to the applicant.

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

The document review results are provided in general ranking order of ABC along with the passed/failed results of each evaluation item (e.g., scientific importance, research plan effectiveness).

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

For these categories, comments on the evaluation results provided.

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

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

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

From FY 2009, selection notification for most new grants is made on 1 April (except for some large grant categories), upon receipt of which research projects may begin. For projects continuing from the previous year, the funds may be used from 1 April without interruption.

*Once the notice of provisional selection is received, the researcher(s) may enter contracts for purchasing goods and services, and start their research activities.*

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

-The research institution advances the researcher(s) funds needed for starting their research activities in April. A settlement is made after the grant is disbursed.
Funded research may be conducted up to the end of the fiscal year. (The year-end project-reporting period is set for the end of May of the following year to coincide with account-closing procedures of the research institutions.)

*Contracts for goods and services should be set to expire by 31 March of the subject fiscal year.

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

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

This is done for the following reasons:

(1) **To lighten the administrative burden of the researchers**

This allows the researchers to concentrate on their work.

(2) **To prevent unintended rule infractions**

This helps researchers, who are not well-versed in accounting procedures, avoid making inadvertent errors.

The research institution’s accounting rules are to be followed when using the grant funds.

- When purchasing materials, observe the institution’s prescribed rules. Be sure to have a member of the accounting department or other third party verify the delivery and receipt of ordered materials. (If deliveries are not properly received/verified, the grant may be terminated and refunded.)

- The research institution carries out grant administration and processing; however, as the Principal Investigator and Co-Investigator (kenkyū-buntansha) are defined by law as members of the funded project, they should carry out their duties with a firm knowledge of the grant usage terms and conditions and of the balance sheet of expenditures.
8. What direct expenses may be covered by the grant?

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

The grant may be used to purchase materials and equipment needed to conduct the research and for travel and paying remunerations.

The grant may be used to cover the following expenses.

For employing people who cooperate in the research

The grant may be used for employing personnel including researchers to implement the research, with the exception of the Principal Investigator and Co-Investigator (*kenkyū-buntansha*). Such personnel are to be hired by the research institution, not the Principal Investigator.

For leasing research space

When the host institution is unable to accommodate the research project, the grant may be used to pay rent and deposits, etc. It may also be used to cover space charges within the institution.

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

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

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

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

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

- Equipping buildings or other facilities (with the exception of installing equipment purchased by the researchers with the grant funds)
- Purchasing necessary equipment that normally is provided by the research institution
- Repairing damage caused by accidents or natural disasters that occur during the research
- Paying expenses that should be covered by indirect funding

**Mixing the grant with other funding**

As exceptions to the rule, the grant may be used for the following purposes:

- When a trip is made to conduct business for both the funded project and another purpose, providing that a clear separation is made between the two expenditures.
-For the purchase of a single unit of consumable supplies used for the project and another purpose, providing that a clear separation is made between the two expenditures. (A unit is one case, one dozen or other such unit of purchase.)
-When the direct funding is added to other funding in carrying out the project (except in the case of income from commissioned work, regular budgetary subsidies for private universities, other Grants-in-Aid for direct or indirect funding.

May grant funds be carried over into the next fiscal year?

The purchase of goods and services should be closed out by 31 March of the subject fiscal year; with authorization, however, they may be carried over into the next fiscal year. (See page 29.)

The same rules apply to carrying over research activities into the next fiscal year.

Please take note of the following.

-Expenses (e.g., air tickets, lodging fees) for travel in the next fiscal year may not be paid for out of the grant for the current fiscal year. The same applies to the payment of international conference registration fees.
*For details, inquire at your host research institution.

The *kakenhi* program allows flexible use of funds to cover necessary expenses. However, members of funded projects should endeavor to use the grant funds in an efficient and effective manner.
9. What constitutes indirect funding?

In addition to supporting research activities, *kakenhi* grants also provide a subsidy for use by the research institution in defraying the overhead cost incurred in establishing and maintaining the research-support environment.

Thirty percent is added to the grant to cover indirect costs in the following grant categories: Specially Promoted Research, Scientific Research on Innovative Areas, Scientific Research, Grant-in-Aid for Young Scientists, and Creative Scientific Research.

This indirect funding is disbursed to the research institution to which the *kakenhi* grantees are affiliated.

The head of the research institution decides how the indirect funding is to be expended vis-à-vis the *kakenhi*-funded research project.
The following are examples of the wide range of indirect-funding applications:

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

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

Changing the content of expense items

The amount of expense items (e.g., materials, travel, remunerations) may be adjusted up to 50% or up to 100% for expense items of ¥3 million or less. Application may be made for authorization to adjust higher percentages of expense items.

Adjusting the following items on the application for funding

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

*Research work is of a nature that adjustments are apt to be needed as it progresses. How the above items are adjusted is left to the discretion of the researchers and the research institution; however, appropriate judgment should be exercised in making adjustments effectively from viewpoint of pursuing the research objectives.
Authorization is needed to make the following adjustments.

Large adjustment to expense items

When the adjusted amount exceeds 50% of an expense item over ¥3 million, authorization must be requested.

Change in Principal Investigator or Co-Investigator (kenkyū-buntansha)

Authorization must be requested to change the Principal Investigator or the Co-Investigator (kenkyū-buntansha) of a funded project (including additions, replacements, deletions). For example, when a Co-Investigator (kenkyu-buntansha) is switched to a Co-Investigator (renkei-kenkyusha), authorization must be requested even when the change is made within the same research organization.

Research to be suspended for maternity leave and/or infant care

Kakenhi-funded research may be suspended for the purpose of childbearing (pre- and post-delivery) and infant care. In such cases, research is restarted upon restoration of the grant disbursement after the infant-nursing period has ended.
Funded research to continue after the Principal Investigator has changed his/her affiliated research institution

If an application is filed, this adjustment may be approved; however, the funds may not be transferred to a research institution that is not authorized to receive kakaenhi grants.
11. Under what circumstances may the grant be carried over into the next fiscal year?

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

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

Both direct and indirect funding or just direct funding. Funds may also be carried over from the last year of the scheduled research period.

Examples

- When continuing the research became difficult due to an earthquake, tidal wave, flood or other natural calamity.
- When a scheduled international symposium had to be postponed to the next fiscal year due to the cancellation of a key speaker.
- When due to poor weather conditions scheduled fieldwork had to be postponed to the next fiscal year.
- When additional time is needed due to an unforeseen change in the initial research plan caused by the obtaining of new knowledge or discovery through the subject research or other research.
- When more time than foreseen in the pre-project survey is needed to complete the research.
- When more time than initially anticipated is needed to carry out the research plan due to delays in the delivery of ordered research equipment or material.

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

*From the FY 2007 to 2008 years, 1,297 applications for carrying over funds were approved.

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

http://www.mext.go.jp/a_menu/shinkou/hojyo/1217157.htm
http://www.jsps.go.jp/j-grantsinaid/16_rule/rule.html#kurikoshi
12. How is the reporting of research performance and results conducted?

Both annual expenditure reports and a project-completion report must to be submitted.

Annual grant-expenditure reports

- At the end of each fiscal year, this performance report is to be submitted using the prescribed format.

Project-completion reports

- At the end of the research period, a research results report is to be submitted using the prescribed format. (Some grant categories are exempted.)

- When the researchers wish to wait for a period of time before releasing their research results due to a pending patent application, they may submit a progress report in lieu of submitting a research results report by the prescribed deadline.

- When the researchers themselves announce the research results, they are to acknowledge that the research was carried out with the support of a Grant-in-Aid for Scientific Research, and report such to MEXT and JSPS using the prescribed format. (The same applies when patents are obtained.)
Annual progress reports and project-completion reports are given public access via the *KAKENHI* Database of the National Institute of Informatics.

*see: http://kaken.nii.ac.jp*
13. How should the research results be announced?

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

The following is an example of an acknowledgement format:

“This work was supported by a *kakenhi* grant (8-digit grant number).”

Grant Categories:

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

文部科学省 [The Ministry of Education, Culture, Sports, Science and Technology (MEXT)]
日本学術振興会 [Japan Society for the Promotion of Science (JSPS)]
When the research results are reported in a newspaper, magazine or other publication, a copy of the article should be sent to MEXT and JSPS.
14. How are in-progress evaluations conducted?

During the grant period a mid-term self-evaluation and research-progress report are carried out, followed in some cases by a post-project evaluation.

The mid-term self evaluation is conducted by the researchers themselves at the end of the third year of projects with a four year or longer duration. The results of these evaluations are provided over the Internet.

*These evaluations will begin with projects entering their third year in FY 2008.

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

The research-progress report is conducted the year before the last year of projects under the grant categories Specially Promoted Research, Scientific Research (S), Grant-in-Aid for Young Scientists(S), and Creative Scientific Research. It involves a document review and hearing.

*These evaluations will start from FY 2008.

*For projects of a 3-year duration, this evaluation is conducted in the last year.
Post-project evaluation is conducted through a document review five years after the end of projects under the category Specially Promoted Research.
15. What happens if the rules are broken?

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

Case of grant being awarded based on false or inaccurate statements

- Return the entire amount of grant disbursed

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

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

Case of misuse of the grant funds

- Return of subjected portion of grant funds

- For both the researcher who misused the funds and accomplices, 2-5 year loss of grant-application eligibility
- For other cooperating researchers, 1-year suspension of eligibility to apply for new grants
Case of fabrication, plagiarization or other improper conduct

- Return of part or all of grant disbursed

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

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

Case of grant being awarded based on false or inaccurate statements

-Improper receipt of grant due to falsified application filing (FY1996-FY2003)
  - Funds refunded: ¥191.9 million
  - Grant-application suspension: 5 years

Case of misuse of the grant funds

-Improper use of travel funds based on falsified trip report (FY2003)
  - Funds refunded: ¥50,000
  - Grant-application suspension: 4 years

-Improper receipt of remuneration and travel allowance (FY1999-FY2001)
  - Funds refunded: ¥2.54 million
  - Grant-application suspension: 4 years

-Holding procurement-earmarked money as a vendor deposit through a fictitious transaction
  - Funds refunded: ¥7.58 million
  - Grant-application suspension: 4 years
Funds subjected to improper accounting procedures, whether used in the research activities or not, are in violation of the rules.

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

Inquiry should be made at one’s host institution with regard to such other rules as governing the following:

- Terminating grant projects
- Loss of qualification to apply for grants
- Earned interest and income
Both MEXT and JSPS are working proactively to disseminate information on the Grants-in-Aid Program. Please visit the following websites.

**MEXT**

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

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

[Japanese only]

**JSPS**


**Kakenhi News**

Topics including unique results obtained under Kakenhi-supported research.

[Japanese only]

**Frontier Science Research Projects Advanced in Japan**

Principle researchers’ names and project themes/descriptions of newly selected large-scale research projects under Grants-in-Aid for Scientific Research

[English]


*Kakenhi Essay Series*

Impressions and recollections of research work conducted by past *Kakenhi* recipients

[English]

*Welcome to University Lab – Science That Inspires and Inspirits* *(HIRAMEKI ★ TOKIMEKI SCIENCE)*

Introduction to this program in which elementary, junior high, and high school students visit university laboratories and receive lectures on the results of *Kakenhi*-funded projects.

[Japanese only]
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