PART I.

Part 1. An Overview of the KAKENHI Research Grants

Dr. Pitambar Gautam : Creative Research Institution / Research Analytics
Ms. Fumi Ishimura : University Research Administrator / Archaeology

Part 2. Writing a Good, Strong, and Successful KAKENHI Proposal

Dr. Akira Kakugo : Associate Professor, Faculty of Science / Physical Chemistry
Dr. Kevin Wakeman : Assistant Professor, Institute for the Advancement of Higher Education / Biology

Part 3. Q&A session

WHAT'S KAKENHI? #01

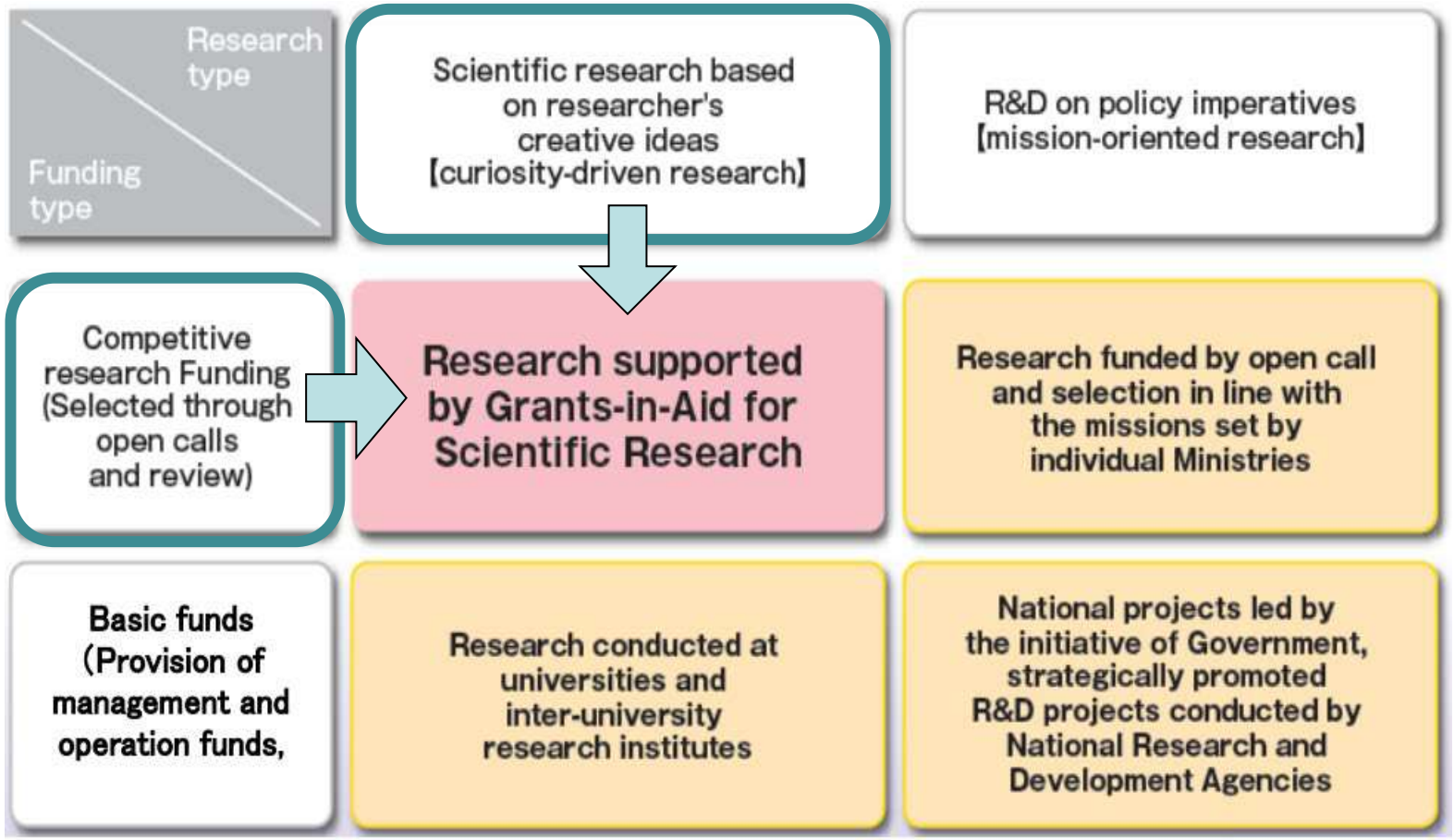
KAKENHI : Grants-in-Aid for Scientific Research

The only competitive research grant program in Japan that..

1) covers ALL academic fields from basic to applied research.
2) facilitates researchers' original research ideas / plans.

WHAT'S KAKENHI? #01

KAKENHI : Grants-in-Aid for Scientific Research



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

Source: KAKENHI Handbook FY2020
http://www.jsps.go.jp/english/e-grants/data/handbook.pdf

WHAT'S KAKENHI? #02

KAKENHI : Grants-in-Aid for Scientific Research

Funded by tax : ACCOUNTABILITY IS EXTREMELY IMPORTANT.

KAKENHI is NOT a whole package of money free to be used for anything.

HOW MUCH AND HOW LONG?

KAKENHI : Grants-in-Aid for Scientific Research

Start Up Categories

Early Career Scientists

Yrs. : 2 - 4
¥ : up to 5 mil. per project

Research Activity Start-Up

Yrs. : up to 2
¥ : up to 1.5 mil. per year

Scientific Research Categories
基盤研究

(C) Yrs. : 3 - 5
¥ : up to 5 mil. per project

(B) Yrs. : 3 - 5
¥ : 5 - 20 mil. per project

(A) Yrs. : 3 - 5
¥ : 20 - 50 mil. per project

(S) Yrs. : 5
¥ : 50 - 200 mil. per project

Other Categories

Challenging Research

Pioneering
Yrs. : 3 - 6
¥ : 5 - 20 mil. per project

Exploratory
Yrs. : 2 - 3
¥ : up to 5 mil. per project

Specially Promoted Research

Yrs. : 3 - 5
¥ : 200 - 500 mil. per project

*There are more grant categories and exceptional conditions that are not covered In this slide. Visit JSPS website for more information and details.

WHO'S ELIGIBLE?

KAKENHI : Grants-in-Aid for Scientific Research

You must meet the following requirements :

1) **You must be affiliated with a research institute certified by MEXT.**
2) **You are certified by your institute that you are not a student and engage in research activities, and registered on e-Rad that you are an eligible KAKENHI applicant.**
3) **Your KAKENHI qualification is not suspended due to misconduct in previous years.**

#3 should NOT be applicable to today's audience..!?

*There are some exceptional requirements for certain grant categories. Visit JSPS website for more information and details.

APPLICATION SCHEDULE?

KAKENHI : Grants-in-Aid for Scientific Research

Details --> Dr. Pitambar Gautam

*Shown here is the information for major grant categories. Visit JSPS website for more information and details.

HOW TO PREPARE? #01

KAKENHI : Grants-in-Aid for Scientific Research

1) Check out “How to apply” for KAKENHI updates, application procedures and necessary documents.

2) Keep in mind that there is a high volume of instructions that you have to go through. Make sure to start early.

Details --> Dr. Kevin Wakeman

HOW TO PREPARE? #02

KAKENHI : Grants-in-Aid for Scientific Research

3) **If you have some extra time to prepare, check out "Peer Review Process" to understand how your proposal will be reviewed and evaluated.**

Details --> Dr. Akira Kakugo

LET'S START FROM HERE!

KAKENHI : Grants-in-Aid for Scientific Research

Slightly outdated at this point but may be the easiest guidebook to start from :

"Handbook on the Grants-in-Aid for Scientific Research (KAKENHI) Program"
- How to Make More Effective Use of the Program (For Researchers) -
FY 2020 Edition

https://www.jsps.go.jp/english/e-grants/data/handbook.pdf

We'll let you know when FY 2021 Edition is out!

A List of Useful Web Pages* Related to KAKENHI

Grants-in-Aids for Scientific Research: How to Apply
https://www.jsps.go.jp/english/e-grants/howtoapply.html ; https://www.jsps.go.jp/english/index.html
Grant Application Guidelines and Application Forms page:
https://www.jsps.go.jp/english/e-grants/grants09.html
Application Procedures for Grants-in-Aid for Scientific Research FY2021
https://www.jsps.go.jp/english/e-grants/data/09/2022/r4_7_kobo_suppl_e.pdf
Supplement (Forms / Procedures for Preparing and Entering a Research Proposal Document)
https://www.jsps.go.jp/english/e-grants/data/r03/r3koubo_bessatsu_e.pdf
FY2021 Procedures for Preparing and Entering a Research proposal Document (items to be entered in the Website:.
For Scientific Research S, A,B,C; Challenging Res (Pion. & Explor.), and Early-Career Scientists
https://www.jsps.go.jp/english/e-grants/data/09/2022/r4_web_yoryo_kiban_s_e.pdf
https://www.jsps.go.jp/english/e-grants/data/09/2022/r4_web_yoryo_kiban_a_e.pdf
(for other categories, check: https://www.jsps.go.jp/j-grantsinaid/03_keikaku/download.html)
THE JSPS Electronic Application System https://www-shinsei.jsps.go.jp/kaken/english/index.html

Information on Types of Grant Programs (Specially Promoted; Innovative (proposed area); Transformative; Scientific: S, A, B, C; Challenging Research (Pioneering & Exploratory); Early-Career Scientists; Start-up; Encouragement)
http://www.jsps.go.jp/english/e-grants/grants01.html
Handbook on the Grants-in-Aid for Scientific Research (FY2020 Edition)
http://www.jsps.go.jp/english/e-grants/data/handbook.pdf
Kakenhi@Hokudai Page of the Office for Enhancement of Institutional Capacity (OEIC)
https://u4u.oeic.hokudai.ac.jp/en/kakenhi-hokudai/
Table of Restriction: https://www.jsps.go.jp/english/e-grants/data/r04/table_of_restriction.pdf

*Check for the latest updates as information may be revised with time.

Schedule for FY2022 Call for Proposals and Provisional Grant Decisions for Research Categories (Tentative)

Research Category	Start of Call for Proposals	Deadline for Submission of Applications	Timing of Provisional Grant Decision
Specially Promoted Research	July 1, 2021	September 6, 2021	Late March 2022
Scientific Research (S)	July 1, 2021	September 6, 2021	Early May 2022
Scientific Research (A)	July 1, 2021	September 6, 2021	End of February 2022
Scientific Research (B/C), Early-Career Scientists, Encouragement of Scientists	Early August 2021	Early October 2021	End of February 2022
Challenging Research	Early August 2021	Early October 2021	Earlier than the timing of provisional grant decisions for FY2021 (early July)
Transformative Research Areas (A)	Late August 2021	Middle of October 2021	Late June 2022
Transformative Research Areas (B)	Late August 2021	Middle of October 2021	Late May 2022
Scientific Research on Innovative Areas (Research in a Proposed Research Area) (Publicly Offered Research)	Late August 2021	Middle of October 2021	Earlier than the timing of provisional grant decisions for FY2021 (April 1)

https://www.jsps.go.jp/english/e-grants/data/09/2022/major_changes_2022.pdf

KAKENHI Application for FY2022: Major Changes

(1) Changes in the Application Schedule & Restrictions on parallel grant application/receipt for some research categories

- Check the Schedule (previous slide) and Table of Restrictions. In case of Parallel Grant restriction, application in other research category is not allowed (even after withdrawal).

(2) Amendment of the Research Proposal Document Forms

- For Scientific Research (S/A) changes, the following items have been amended:
  1. Research Objectives, Research Method, etc.
  2. Research Development Leading to Conception of the Present Research Proposal, etc."

For details, see the Supplement to "Application Procedures .."

(3) Amendment of the review Method for Challenging Research (Exploratory)

- Change to a Two-Stage Document (see: Application Procedure; available in early August)

(4) Research Integrity measures (through Key Actions)

- Declaring acquisition of other domestic/foreign fund(s), and entry of affiliated institution(s) and position(s) in "The Status of Application and acquisition of research Grants"
- Sharing the status of all research activities with affiliated institutions and for technology, abiding with the Act & Rules related to Foreign Exchange and Foreign Trade Act of Japan

(5) Participation in the KAKENHI Peer-review Process (upon invitation)

Internal Application Schedule and procedure (for FY22 Applications)

7/1~ Application requirements Notices (JSPS KAKENHI Page)

7/1~ Upload of Explanation Materials (in English) to Web Page

July-August Announcement of rules & regulations, programs, new areas (if any) by JSPS & MEXT through HP,

August - September

Administrative Check service of KAKENHI proposals (recommended *!)*

HU's Internal Deadline for Submission of Applications (to be announced later!)

xx/xx xxday (17:00): "Publication of Research Result" category

xx/xx xxday (16:00): All other categories

As each department/institute/center has internal deadline, check with the KAKENHI-in-charge there.

How and what to submit by the above deadline

(1). Use the【*Kakenhi Denshi Shinsei Sistemu (= Electronic Application System)*】and, submit online your「Kenkyu Keikakutyousho] = Research

(2). You may have to submit the printed copy of「**Oubojyouhou (Application Information: Web input items**)」.

----- HU forwards the application forms to MEXT/JSPS--------

xx/xx xxday (16:30) Deadline for submission of all documents by HU to MEXT/JSPS

Administrative Service (at HU) for Screening Application before Submitting to the e-Rad

What is checked?

1. Does the application form follow the guideline?
2. Is it complete?
3. Is it correct (regarding format)?

A Checklist used in the past is available at:
https://u4u.oeic.hokudai.ac.jp/en/wp-content/uploads/2020/11/R3_checklist_English.pdf

When?

The proposal (prior to submission) is accepted via Departments/institutes during periods (normally, 3-weeks period starting at 5 weeks earlier than the final KAKENHI submission date) to be specified later. Because the final submission deadline varies by research categories, the period during which the proposals are accepted also vary by those categories. The periods will be announced later.

To use this service, submit your complete application including the web input to Research Promotion Office via KAKENHI In-charge of your Departmental Office.

On the Use of researchmap by KAKENHI Proposal Reviewers

Utilization of “researchmap” (a JST information sharing platform for researchers: https://researchmap.jp/search/?lang=English) and KAKEN databases

<Concrete recommendation on the use of “Researchmap”>

- The applicant’s ability to conduct research is judged from the Research Proposal through the Grants-in-Aid Review.

- Reviewers may consult *researchmap* while reviewing. As, access to *researchmap* (https://researchmap.jp/search/?lang=English) by reviewers will become easier than before, make sure to enter all important information (e.g., publications, etc.) into the database/system and keep it up-to-date. Also, register the “Researcher Number”.

Ensure that all important publications etc. that you want to be seen by reviewers are set in “disclose” mode in the *researchmap* page.

- As not all information in *researchmap* has relevance to the Grants-in-aid proposal review, the reviewers are asked to consult/use only the information related to the proposal review process.

Research Misconduct Prevention Training

E-mail:【Mandatory Trainings for Researchers in Hokudai】 2021/7/5

Targets for mandatory attendance must do all of the following.

(1) Attend Training on the Research Misconduct Prevention Training

(2) Read the Research Handbook

(3) Attend Training on the University Rules Applying to the Use of Grants (and affirm the code of ethical conduct for research integrity).

APRIN e-Learning Program

https://edu.aprin.or.jp/

https://www.hokudai.ac.jp/research/injustice/handbook/

Review Sections

https://www.jsps.go.jp/english/e-grants/data/r03/review_section_table.pdf

Broad Section C

Medium-sized Section 18 : Mechanics of materials, production engineering, design engineering, and related fields

Basic Section	
18010	Mechanics of materials and materials-related

- Broad Section has Alphabet (A, B, C,..)
- Each Broad Section consists of several Medium-sized Sections.
- The overall content of each Broad Section is defined by the contents of the Basic Sections and Medium-sized sections comprising it.

Broad Section A

Medium-sized Section 1 : Philosophy, art, and related fields

Basic Section	
01010	Philosophy and ethics-related
01020	Chinese philosophy, Indian philosophy and

- Medium-sized Section consists of several Basic Sections.
- [xx and related fields] at the end implies that it is not rigid or strictly defined

Broad Section A (continued)

Medium-sized Section 9 : Education and related fields

Basic Section	
09010	Education-related
09020	Sociology of education-related
09030	Childhood and nursery/pre-school education-related
	Education on school subjects and primary/

- Each Basic Section has a number.
- **[**xx -related**]** at the end implies that it is also not rigidly defined. → flexibility!

11020	Geometry-related

Medium-sized Section 12 : Analysis, applied mathematics, and related fields

Basic Section

Practical Tips for writing KAKENHI Proposals

In order to assist you in writing proposals, two pdf files comprising the forms (respectively for Early-Career Scientist and Scientific Research C categories) with the writing tips will be provided (after necessary updates)

1. Early-Career Scientists form_writing tips.pdf
2. Scientific Research C form_writing tips.pdf

Items to be entered in the Website

1ページ目、2ページ目の各項目名については、外国人の方にその　容が分かるよう、便宜的に英　も併記していますが、審　に付す際には、日本語のみの表示となります。
The item names written in English in the first two pages of this form (to be entered in the Website) are provided for the convenience of non-Japanese applicants. Only the Japanese item names will be shown when this form is sent to reviewers.

令和3年度(2021年度)　基盤研究（C）（一般）研究計画調書
RESEARCH PROPOSAL DOCUMENT
GRANT-IN-AID FOR SCIENTIFIC RESEARCH (C) (General) (FY2021)

令和XX 年XX月XX日
September 1st, 2020
1版
1st edition

新規
New Proposal

研究種目 Research Category	基盤研究(C) Scientific Research (C)	応募区分 Application Section	一般 General
小区分 Review Section (Basic Section)	○○○関連		
研究代表者氏名 Principal Investigator (PI)	(フリガナ)	ダイヒョウ　タロウ	
	(漢字等) Name (in Roman letters)	DAIHYO　TARO	
所属研究機関 Research Institution	北海道大学		
部　局 Academic Unit (School, Faculty, etc.)	○○○研究院		
職 Position	助教		
研究課題名 Title of Proposed Research Project			
	研究経費 (千円)	使用内訳（千円） Breakdown (1000 yen)	

【Initial display】
This should exactly match the name registered in your e-Rad record. If there have been recent changes in your academic unit and position, consult the departmental officer in-charge to make appropriate changes in your e-Rad record.

Research title should clearly reflect the content of research (purpose, method and goal), what you want to achieve and to what extent, within the proposed research period. It should not exceed 200 half-width or single-byte (or 40 if full-width or double-byte & half-width mixed, in case of Japanese) characters.

KAKENHI Online Application Procedure

（1）Log-in to the top page: http://www-shinsei.jsps.go.jp/kaken/index.html

(1) Click「Japanese → English」and switch to English Page. (2) Click「Researcher login」.

Japanese page

English page

Downloading the Manual: http://www-shinsei.jsps.go.jp/kaken/docs/manual1ka-E.pdf

Applicant Log-in「応募者ログイン」Page
(Log-in **[ログイン] with** e-Rad **「ID」、「Password」)**

1) e-Rad ID and password for each researcher is issued by the office-in-charge of HU. If you lost these, contact the officer to confirm the details and reissue for you.

2) After Log-In, you may be asked to register your e-mail addresses (primary and optional). Ensure that the e-mail address is currently valid.

Check and update your e-Rad

Select the appropriate category for your application and follow the instructions.

About “KAKENHI Research Proposal Archive”

A newly constructed archive of past KAKENHI proposals is accessible since last year for HU Teaching Staff holding SSO ID. The web portal is currently in Japanese. To assist users with no knowledge in Japanese, we have added brief guides as shown by the links.

https://u4u.oeic.hokudai.ac.jp/en/kakenhi-hokudai/tools/

Tools for Applying

KAKENHI Research Proposal Document Archive “採択済科研費申請書閲覧システム”

This is a support system to browse the Hokudai researchers’ applications accepted in the past. The system can be accessed only via SSO system. Currently, most of the proposals on the system are in Japanese with only a few in English.
The guide how to access the archive is available below:

System access manual

Accessing and archiving proposals

Research Organization

Good organization is an absolute necessity

- Are there any project members just for the sake of name?
- Are there too many members?
- Are there members from fields irrelevant/unsuitable to the proposed research ?
- Did you obtain prior consent for joint application from all the members included?

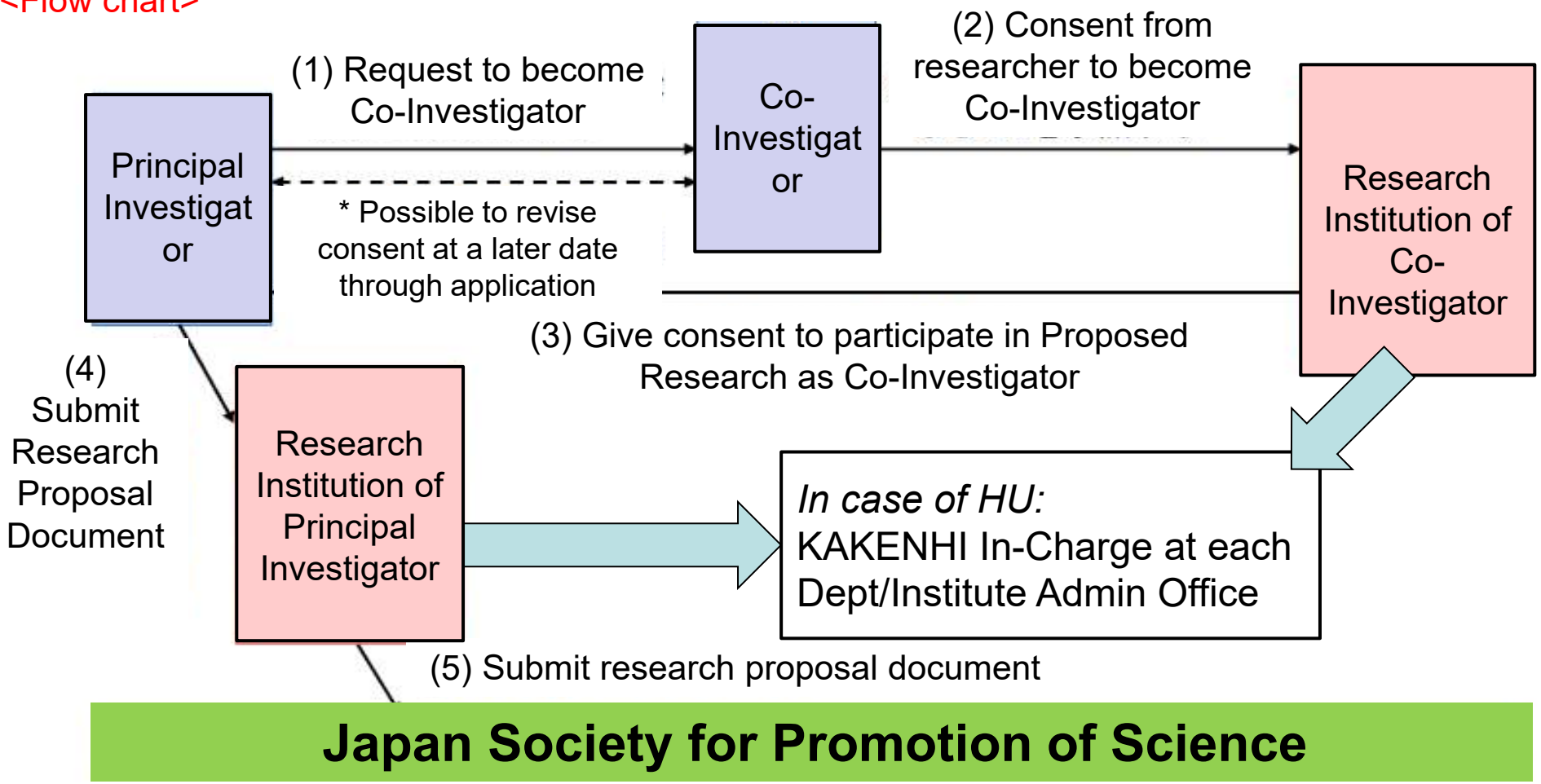
Composition of project members

Investigator type		Requirement and others
Principal Investigator	*daihyou-kenkyusha*	**Eligible for application (e-Rad registration)**
(Project member)		Full responsibility for the implementation of the research project
PI		Summarizing of the research achievements in Japanese
Co-Investigator	*kenkyu-buntansha*	**Eligible for application (e-Rad registration)**
Co-I	(Member of the funded	Engages in research activity, collaborating with PI and sharing responsibility
	project; cooperator)	Eligible for a share of the funds from PI and use at own discretion
Joint Researcher	*kenkyu-kyouryokusha*	No need to be elligible for e-Rad ragistration
	(cooperator to PI, Co- I for implementation of the project)	*PDs, RA, JSPS Research Fellows and researchers from company or foreign institutions can be included here. No discretion regarding the use of grant funds themselves, but can be invited by PI or Co-I. Starting FY2019 Applications, you can mention them within the main application (sections such as “research objectives”, “research methods” etc.).

Flow-chart Related to Submission of KAKENHI

Consent of Co-Investigator through Web Input (No option of *Collaborating Researcher anymore!)*

<Flow chart>



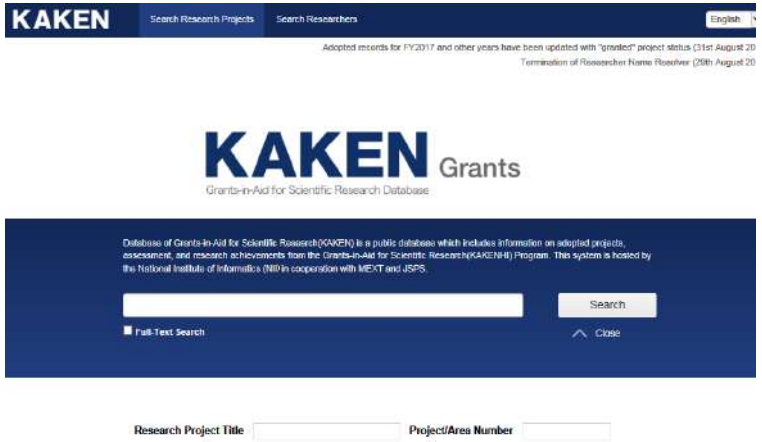
* Electronic submission. Ensure to get consent well in time before submission. Check for latest changes, if any!

Consulting KAKENHI Database & Acknowledging KAKENHI in Research Publications

- Consult KAKENHI database webpage (for information on researchers and fields selected for at least past 3 years) https://kaken.nii.ac.jp/en/
- Check the Assessment Criteria (for example, criteria for Scientific B/C) https://www.jsps.go.jp/j-grantsinaid/01_seido/03_shinsa/data/h30/h30hyoutei03_en_general.pdf

You may check also the Committee and Reviewers list (for previous years, available *in Japanese)*
https://www.jsps.go.jp/j-grantsinaid/14_kouho/meibo.html

For the 1st stage screening (2017)
https://www.jsps.go.jp/j-grantsinaid/01_seido/03_shinsa/shinsa_meibo/first_29.html

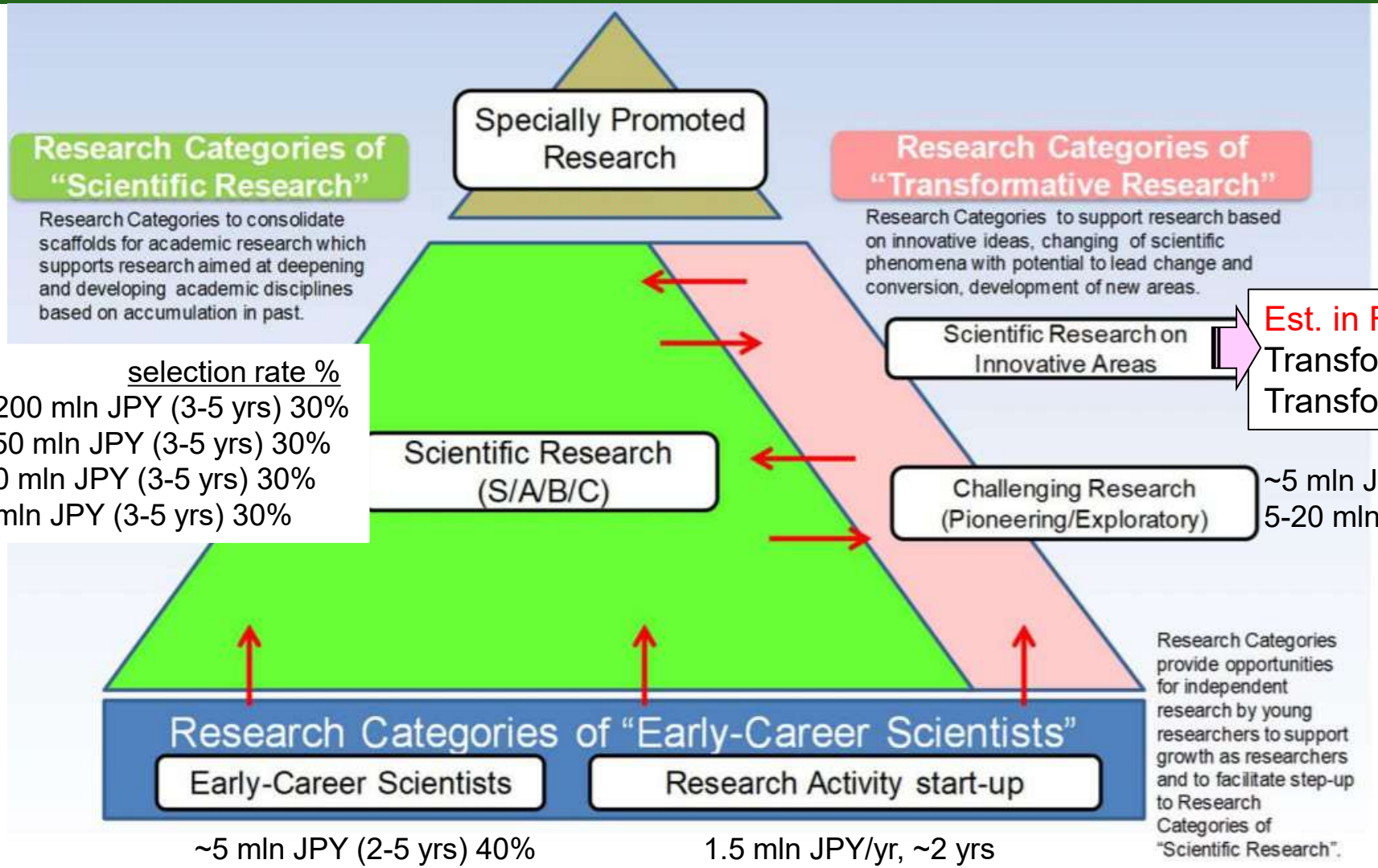


Possible to search by:
Free word
Research project title
Project type
Research field
Research category
Research institution, etc.

Acknowledging the receipt of KAKENHI in scholarly works:

- Include “MEXT/JSPS KAKENHI Grant Number JPxxxxxxxx”, where xxxxxxxx refers to the 8-characters long Grant Number
- Example in Acknowledgment for 2 projects in a paper:
  This work was supported by JSPS KAKENHI Grant Numbers JP15K45678, JP16H45678.

Function and Structure of some KAKENHI Research Categories



selection rate %

S 50-200 mln JPY (3-5 yrs) 30%
A 20-50 mln JPY (3-5 yrs) 30%
B 5-20 mln JPY (3-5 yrs) 30%
C ~5 mln JPY (3-5 yrs) 30%

Source: KAKENHI Handbook FY2018 and MEXT material 2019/9. For complete information, see Application Procedures: https://www.jsps.go.jp/english/e-grants/data/r02/r2koubo_e.pdf

About Effort Ratio

- Effort ratio = (Hrs. allocated for the specific activity) ÷ (Total hrs. allocated for all productive activities)
- Effort ratio for Principle Investigator is typically **10-30%**.
- Allocate **30-50%** if you are **young,** you are conducting the project as **PI,** and the project is your **first priority.** For the accepted projects, the effort ratio ranges between 5% and 60%.
- Put a PLAUSIBLE effort ratio. Ask your peer/supervisor for the effort ratio specific to your field.

Example1: Effort rate 10%

(i) For a researcher, with the following time allocated for all productive activities,

Mon.-Fri.: 8AM to 8PM

12hrs/day × 5days = 60 hours

Sat. Sun : Total 10 hrs.

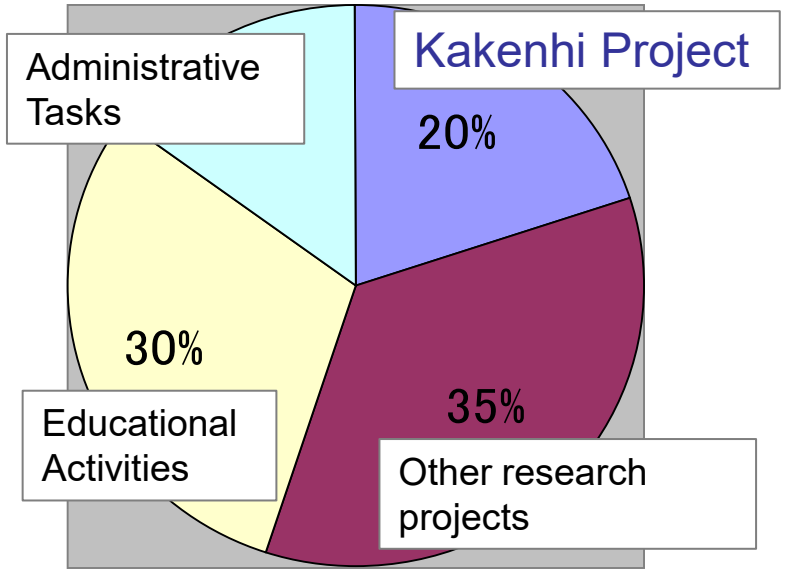
Total amount of time spent for the productive hours per week is **70 hrs.**

(ii) So, an effort rate of **10% will be,**

10% of 70 hrs = 7 hrs.

Hence, putting 10% effort for kakenhi project means spending 7 hrs. per week on the proposed research.

Example2:
Chart showing an effort rate of 20% for Kakenhi
Division of total time allocated for productive activities



Adapted after J. Yamazaki (2016) ; Original Source :「宇都宮大学科研費獲得に向けた講演会」資料
明治大学小澤芳明著（2012.6.26）