HOKKAIDO UNIVERSITY

北海道大学

KAKENHI
(Grants-in-Aid for Scientific Research)
Seminar

by:

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&

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Main Sources:

JSPS/MEXT KAKENHI Pages

Materials distributed during annual kakenhi seminars at HU

JSPS & J. Yamazaki (2017)

October 3, 2017

Sequence of Today' Talk

Part I. Introduction, FY2018 Reforms, Application Procedure and Selection Response (Pitambar GAUTAM & Michael HENRY)

- Scientific publications and rankings (Hokkaido University)
- Introduction to KAKENHI program (application preparation, schedule, useful pages, etc.)
- FY 2018 KAKENHI reforms (general & specific)
- Review Sections & Research proposal review process
- Assessment criteria (example of "Scientific Research" B/C)
- KAKENHI rules and misconduct prevention training, database and funding acknowledgement
- KAKENHI-related Selection rates and "multi-year fund" provision

- **Online application procedure**

- **KAKENHI results and feedback**

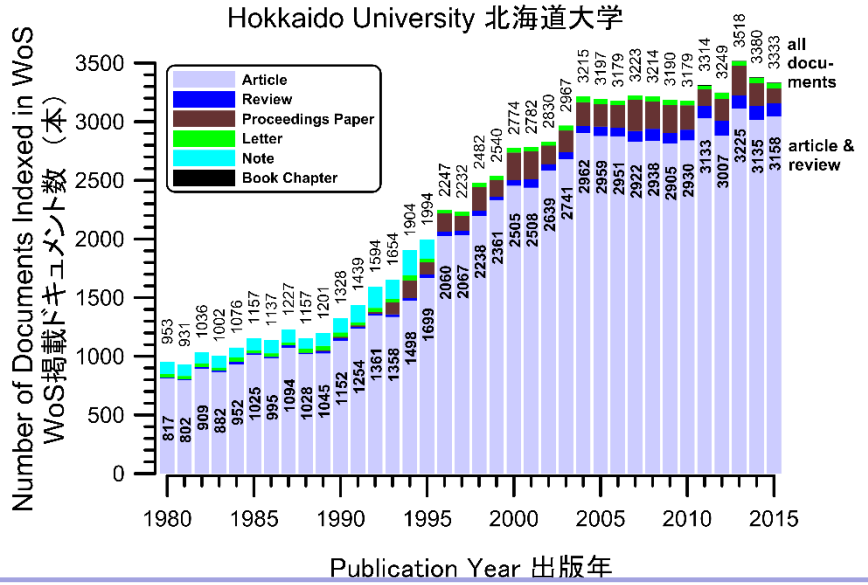
Part II. How to write strong KAKENHI proposals (Ralf GREVE)

- Some thoughts on reviewer evaluation
- Preparation
- Tips for writing a research proposal

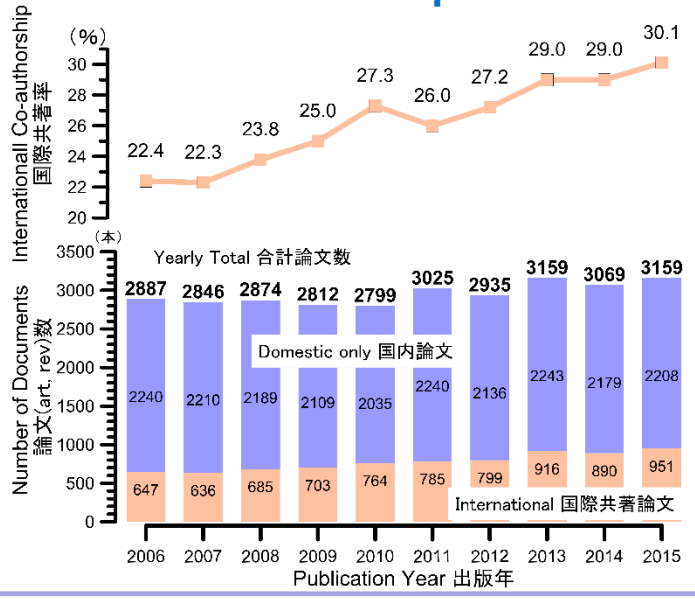
Part III. Q& A Session

Scientific Publications from Hokkaido University

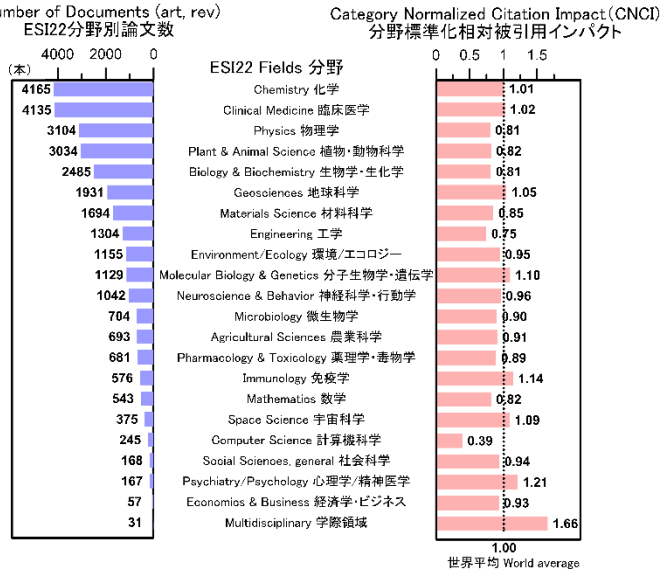
Publications Data



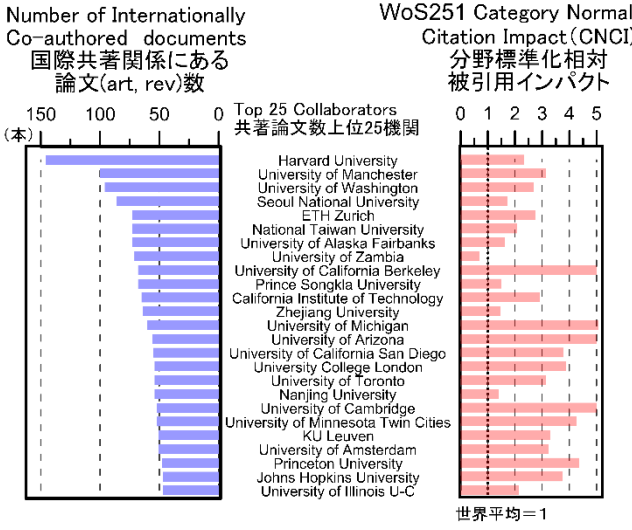
International Co-authorship



Research Impact



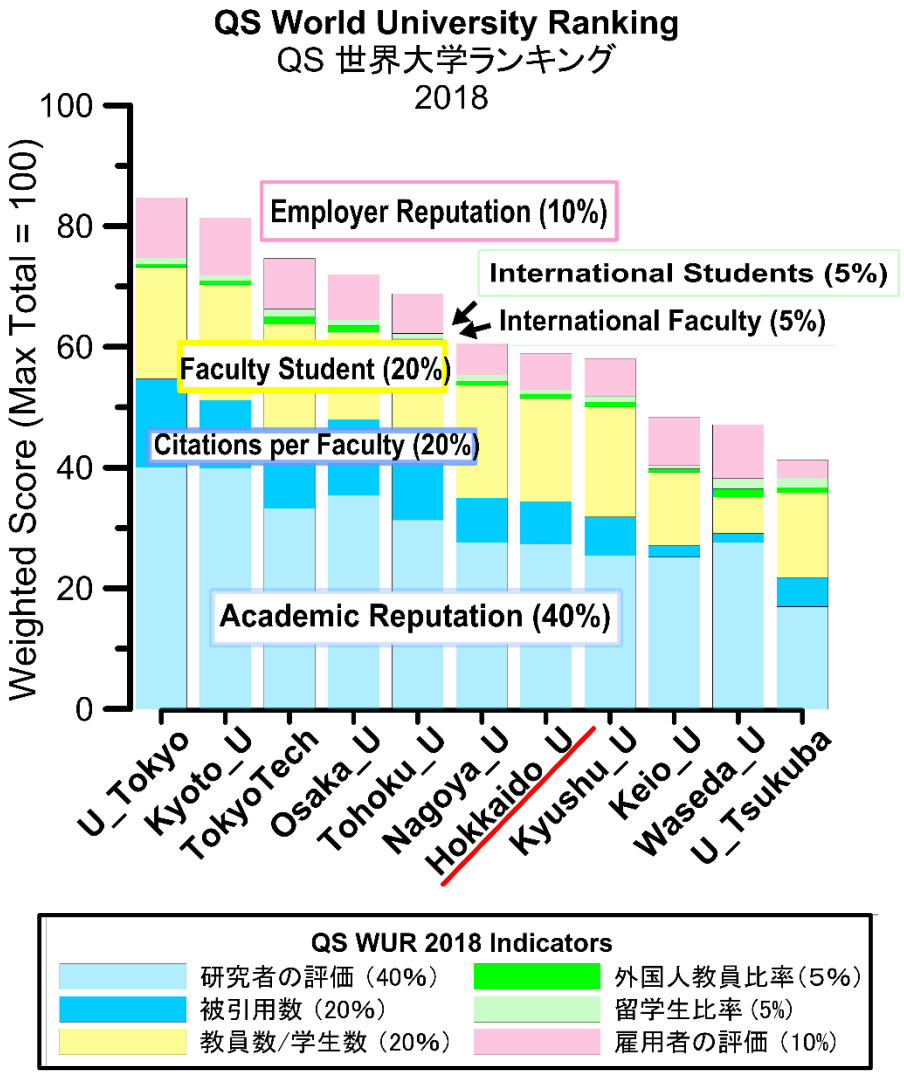
Top International Research Partners



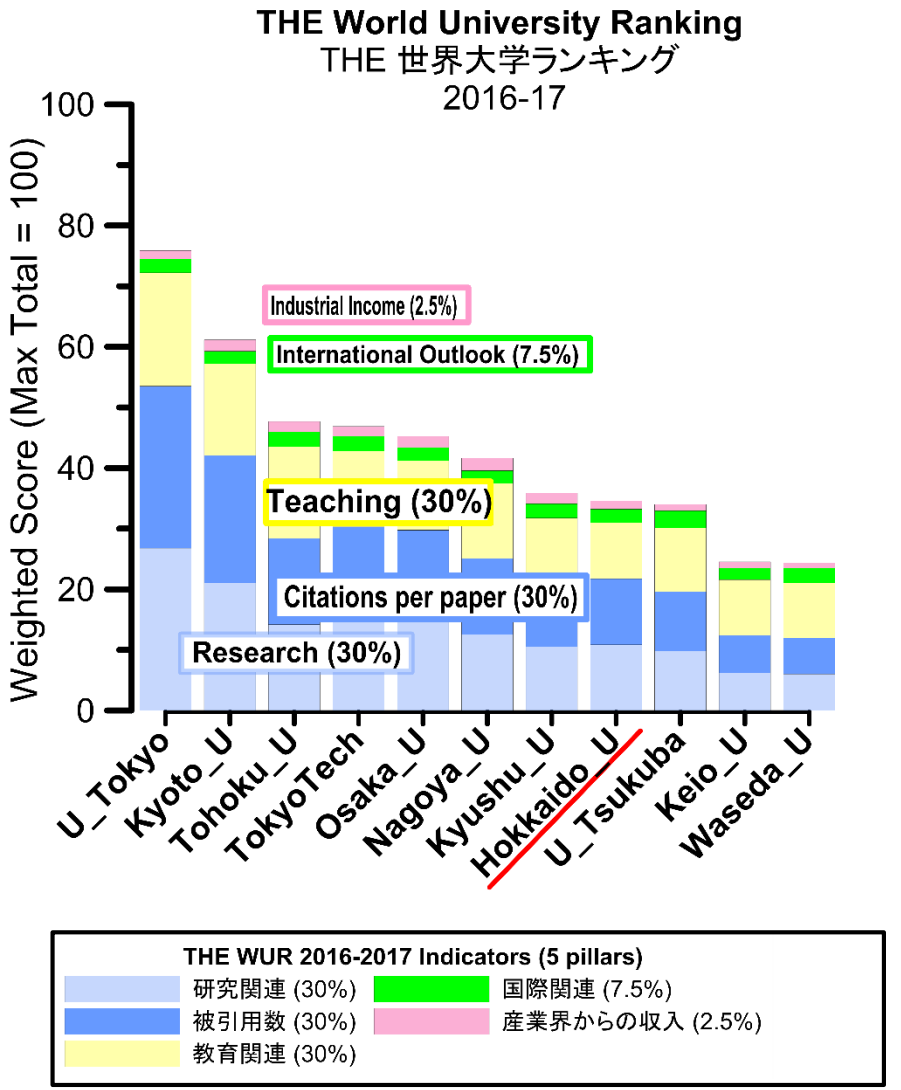
Gautam, P. (2017). Scientific Publications and World University Rankings. Hokkaido J. Dent. Sci., 38: 2-15.
Data Source: WoS Core Collections & InCites™ by Clarivate Analytics

Benchmarking RU11 by World University Ranking Scores

Benchmarking Research Universities (RU11) -1



Benchmarking Research Universities (RU11) -2



Gautam, P. (2017). Scientific Publications and World University Rankings. Hokkaido J. Dent. Sci., 38: 2-15.

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

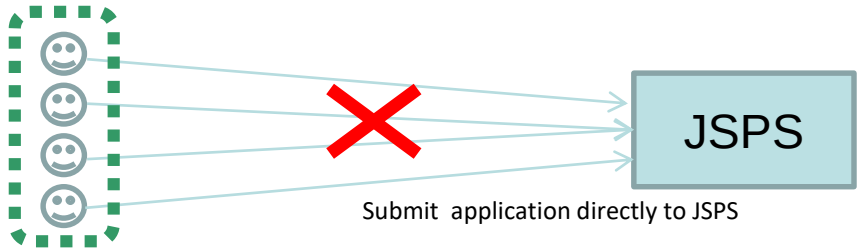
Research type / Funding type	Scientific research based on researcher's creative ideas [curiosity-driven research]	R&D on policy imperatives [mission-oriented research]
Competitive research funding (Selected through open calls and screening)	**Research advanced using Grants-in-Aid for Scientific Research**	**Openly recruited research for purposes set independently by each ministry**
Government subsidies for independent administrative institutions	**Research advanced at universities and inter-university research institutes**	**Government-led national projects** **Strategically advanced R&D by research organizations**

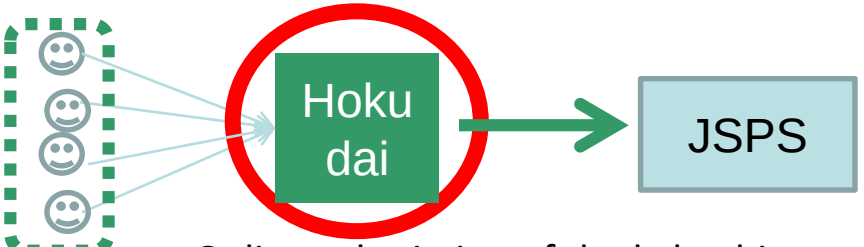
Basic Facts about Kakenhi

- Major research grant provided by JSPS, the founding agency in Japan
- Support to bottom up projects in all research areas (from Humanities & Social Science to Natural Sciences)
- Being a PI of Kakenhi project is one evidence for your recognition as an independent researcher.
- In the past few decades, the allocation to the university budget by MEXT is steadily decreasing. Hence, researchers are strongly encouraged to seek the external source (kakenhi and others) to carry out their research programs.

How to apply Kakenhi?

Applications for Kakenhi grant is collected by the department of your affiliation and then submitted to JSPS. If you consider applying, contact the person in charge at your department.





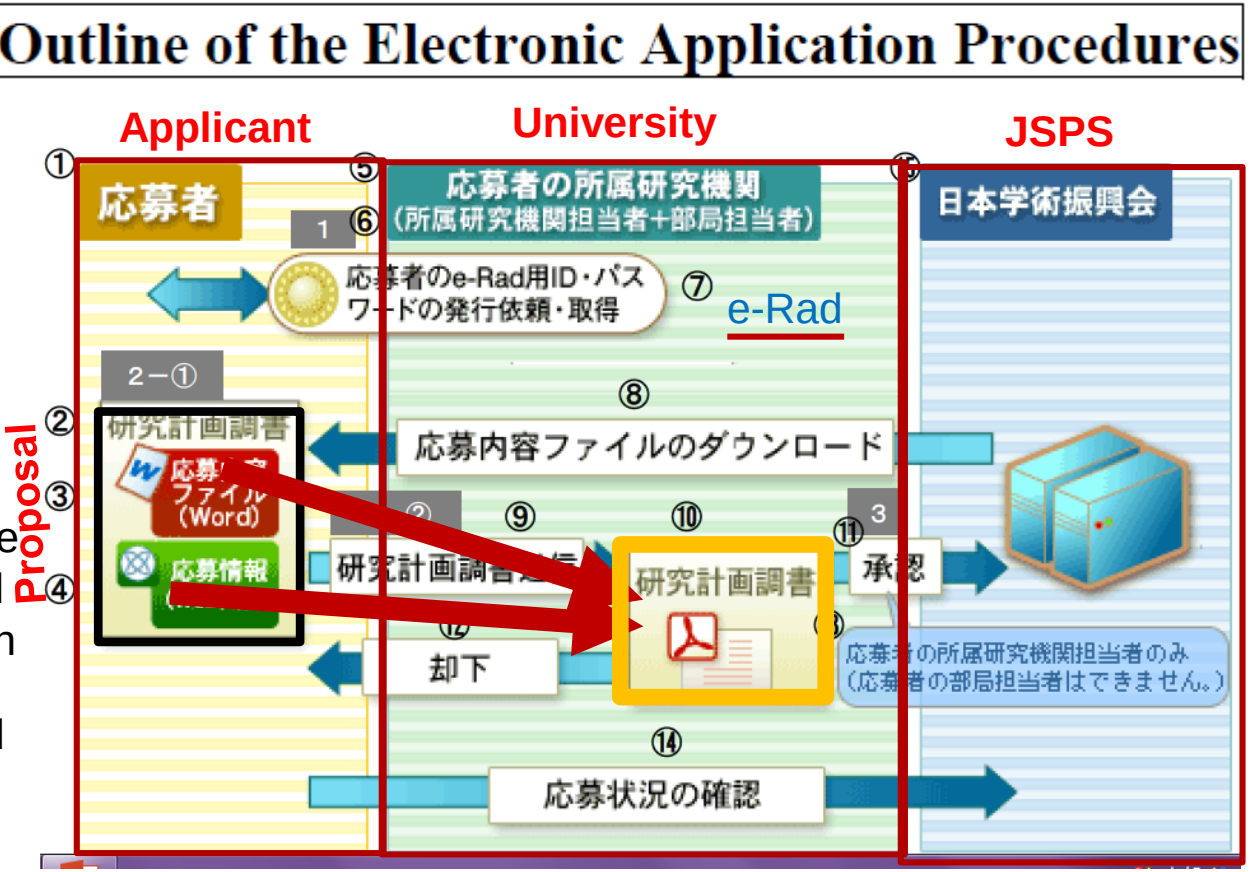
Online submission of the kakenhi application to the department office

Those having the Kakenhi application status during November to next May might be eligible to apply for the Start-up grant. For details, consult with your Department.

http://www.hokudai.ac.jp/jimuk/gakunai/gaibu/h2603procedure.pdf

KAKENHI Application Procedures … (example from FY2016)

① applicant
② Proposal for Grant-in-Aid
③ Project Description File (Word)
④ application information
(to be entered in the website)
⑤ the research institution to which the applicant belongs
⑥ person in charge in the research institution + person in charge in the department
⑦ request for issue and acquisition of the applicant's ID and password for e-Rad
⑧ downloading of the Project Description File
⑨ sending the Proposal for Grant-in-Aid
⑩ Proposal for Grant-in-Aid (PDF file)
⑪ approval
⑫ rejection
⑬ only the person in charge of the research institution to which the applicant belongs
⑭ confirmation of the state of the application
⑮ the Japan Society for the Promotion of Science (JSPS)



Internal Application Schedule and procedure (2017)

9/1 Application requirements announced
9/5 Explanation Meeting (in Japanese) **10/3** Explanation Meeting (in English)
Sept-Oct Announcement of rules, programs by JSPS & MEXT through HP
……. Check service for those who opt for it!

11/6 (16:00) HU's Internal Deadline for Submission of Applications
However, each department/institute has own internal deadline. Therefore, please contact the KAKENHI-in-charge at your department/institute office, and submit within the given deadline.

--- 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 Plan (in case of shingakujyutsuryouikikenkyu = new area, area-PI's *Ryouikikeikakusho* = Area Plan)
(2). Submit print of「**Oubojyouhou (Application Information: Web input items**)」 and copy of 「kenkyubuntansha-ryouninsho = Agreement letter」from kenkyubuntansha to your office.

----- HU forwards the application forms to MEXT/JSPS--------
11/8 (16:30) Last date by which HU submits all documents to MEXT/JSPS

What is checked?

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

When?

Departments/institutes are asked to ensure completion of submissions by:
(1) 10/16 (Monday) for Grants in New (Innovative) Areas (koubo kenkyu), Scientific Research (B), (C), Challenging Research (Pioneering & Exploratory) and Early-Career Scientists; and
(2) 10/20 (Friday) for Grants in New (innovative) Areas (shinkiryouiki), Specially-Promoted Research, Scientific Research (S),(A).

If you want to use this service, submit your application form prepared using the web portal to the Research Promotion Office via your Departmental Office.

Useful Web Pages* Related to KAKENHI

Grants-in-Aids for Scientific Research: How to Apply
http://www.jsps.go.jp/english/e-grants/grants09_fy2018.html

Application Procedures (FY2018)
http://www.jsps.go.jp/j-grantsinaid/03_keikaku/data/h30/koubo.pdf

FY2018 Procedures for Preparing and Entering Application Information ..
(for S and for others A/B/C; Challenging Res (Pion. & Explor.), and Early-Career Scientists
http://www.jsps.go.jp/j-grantsinaid/03_keikaku/data/h30/1oubo-info/h30web_yoryo_kiban_s_e.pdf
http://www.jsps.go.jp/j-grantsinaid/03_keikaku/data/h30/1oubo-info/h30web_yoryo_e.pdf

KAKENHI Electronic Application System Operation Manual (September 2017 update)
http://www-shinsei.jsps.go.jp/kaken/docs/manual1ka-E.pdf

Types of Grant Programs (Specially Promoted (Innovative); 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. (FY2017 Edition)
http://www.jsps.go.jp/english/e-grants/data/handbook.pdf

Kakenhi@Hokudai Page of the Office for Enhancement of Institutional Capacity (OEIC)
http://kkyoka.oeic.hokudai.ac.jp/en/kakenhi-hokudai/

Kakenhi Support Page (Information in Japanese and partially in English)
http://www.hokudai.ac.jp/jimuk/gakunai/gaibu/2017.html

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

Summary - FY2018 Reform of the KAKENHI Review System

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

Until FY2017

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 grant categories reviewed in same manner.
- 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".

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

New Review System

New Review Section Table and Review System From FY2018 Grants (Open call scheduled for Sep 2017)

Broad Section
(11 fields recruited/reviewed)
Medium-sized section compiled into one review section.
- Scientific Research (S)

Medium -sized Section
(65 fields recruited/reviewed)
Basic section compiled into one review section.
- Scientific Research (A)
- Challenging Research

Basic Section
(306 fields 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 remarks 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-Tier Document Review — More efficient —

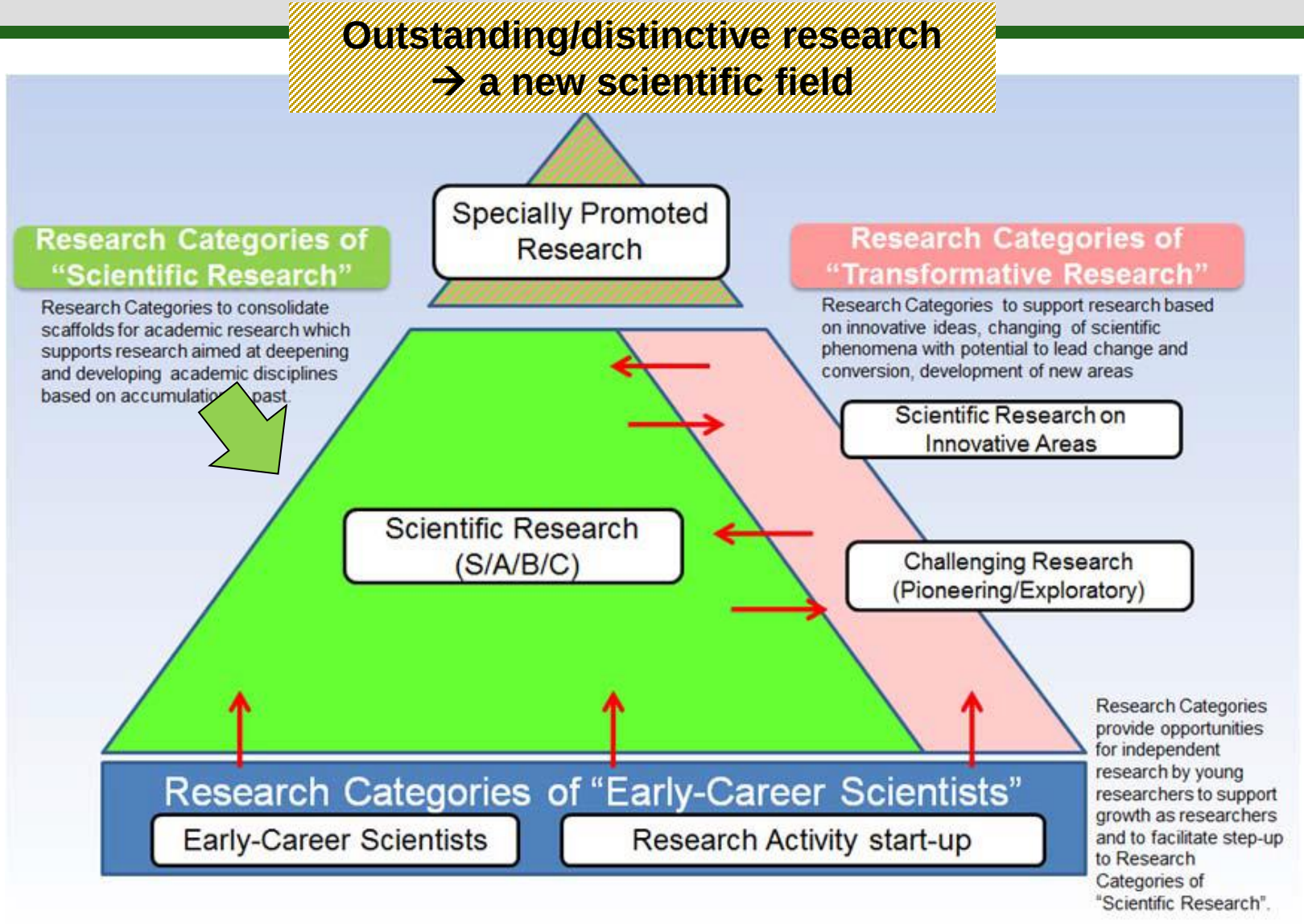
In selecting grant awardees, same group of researchers carries out two document reviews.

- 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.

Note) 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.

Source: KAKENHI Handbook FY2017, p. 38

Function and Structure of the KAKENHI Research Categories



Source: KAKENHI Handbook FY2017, p. 39

New Framework for Challenging Research (*Chosenteki Kenkyu)* since FY 2017

From FY2017, the "Challenging Exploratory" program has been replaced by **"Challenging Research (Pioneering)"** *Chosenteki Kenkyu (Kaitaku)* and **"Challenging Research (Exploratory)"** *Chosenteki Kenkyu (Hoga)***"** . In FY2016, **8,821** proposals were accepted under the "Challenging Exploratory"（100億円※直接経費） category.

Type	Challenging Research (Pioneering) *Chosenteki Kenkyu, Kaitaku*	Challenging Research (Exploratory) *Chosenteki Kenkyu, Hoga*
Content	Project proposed by one or multiple researcher(s), based on a novel idea and with the potential to develop. Program modelled from NSF's "transformative research".	（same as on the left） ※In addition, the initial stage of the project has exploratory challenging characteristics
Amount	JPY 5 mil. – 20 mil. （500万円～2，000万円）	About JPY 5 mil. (~500万円)
Project period	3-6 years	2-3 years
# of proposals to be adopted	Quality of the proposal will be highly valued. The proposed amount will be distributed to maximum possible extent（Clear distinction from "Scientific Research" category）. No. of selections not limited to 30% (kakenhi average)	（same as on the left） ⇒Expected to be significantly decreased compared to the current #
Qualifications	Novelty is valued more than the expected research output. However, an evidence for the minimum ability to implement the project will be required.	（same as on the left）
Review Process	Comprehensive Review "Medium-sized Section". * Pre-screening may be necessary	（same as on the left）

Review Procedure: Preliminary Screening → Document Screening → Consensual Decision-making
No. of Reviewers: 6-8 persons (3 for prior selection)
For assessment criteria refer to: https://www.jsps.go.jp/j-grantsinaid/01_seido/03_shinsa/data/h30/chosen.pdf

Major Changes: KAKENHI Application for FY2018 (1)

(1) Change of Research Category and Framework

1. Specially Promoted Research:
Objectives: to support "outstanding & distinctive research that opens up a new scientific field";
Granted only once. Amount: 200 - 500 million yen (more, in truly necessary case); 3-5 yrs. → up to 7yrs

2. Young Scientists (A/B)

- Eligibility criterion: "age" → "years after Ph.D. acquisition";
- "Young Scientists (A)" integrated into "Scientific Research";
- "Young Scientists (B)" → "Early Career Scientists".
- A grantee of "Young Scientists (A/B) or "Early Career Scientists" can submit a new research proposal by use of the "Research proposal submission in the fiscal year previous to the final fiscal year of the research period of an on-going research project" even if the on-going one is a 3-year period project. In this case the research category to which the new proposal is submitted must be Scientific Research (S) or Scientific Research (A/B) (application section "General")

3. Scientific Research

- Scientific Research (S): 50 million to 200 million yen.
- Scientific Research (B/C) ("Generative Research Fields"): No new areas will be set up, but proposals in the 6 areas set up in FY2016 and FY2017 are called.

Major Changes: KAKENHI Application for FY2018 (2)

4. Challenging Research (Pioneering/Exploratory)

- The newly established "Generative Research Fields Review Division" with two fields: (i) A New Phase of Our Advanced Science and Technology Society, and (ii) Studies on the Super-Aging Society; and "KAKENHI- Review Section Table" apply.
- Proposal review *in*: (i) Medium-sized Sections; (ii) Generative Research Fields Review Divisions

Note: "Overseas Scientific Investigation" under "Scientific Research (A/B)" is being reformed, and planned to open after January, 2018, with broad scope not just field surveys.

(2) Changes in "Review Section" and "Review Method"

1. Review Sections replace the former "List of Categories, Areas, Disciplines and Research Fields"
Call for proposals and proposal review follow the "KAKENHI Review Section Table", with "Basic Sections", "Medium-sized Sections", and "Broad Sections".
(with the exception of some research categories such as Specially Promoted Research)

2. Review Method (Comprehensive Review and Two-Stage Document Review)

- Comprehensive Review: Scientific Research (S/A), Scientific Research (B/C) (application section "Generative Research Fields"), and Challenging Research (Pioneering/Exploratory)
- Written comments (to be used in document reviews and panel reviews) from a few specialists and Interview of the applicant at the final review stage: for Specially Promoted Research and Scientific Research (S).
- "Two-Stage Document Review": Proposal review for the categories Scientific Research (B/C) (application section "General") and Early-Career Scientists

Major Changes: KAKENHI Application for FY2018 (3)

[Review Section and Review Method to be applied to each research category]

Research Category	Application Section	Review Section	Review Method
Specially Promoted Research		"Humanities and Social Sciences", "Science and Engineering" or "Biological Sciences"	Comprehensive Review (Document review and Panel review) *with the help of written comments by domestic and overseas researchers *interview of the applicant
Scientific Research (S)		Broad Section	Comprehensive Review (Document review and Panel review) *with the help of written comments by domestic researchers *interview of the applicant
Scientific Research (A)	General	Medium-sized Section	Comprehensive Review (Document review and Panel review)
Scientific Research (B)	General	Basic Section	Two-Stage Document Review
	Generative Research Fields		Comprehensive Review (Document review and Panel review)
Scientific Research (C)	General	Basic Section	Two-Stage Document Review
	Generative Research Fields		Comprehensive Review (Document review and Panel review)
Challenging Research (Pioneering/Exploratory)		Medium-sized Section and Generative Research Fields Review Division	Comprehensive Review (Document review and Panel review)
Early-Career Scientists		Basic Section	Two-Stage Document Review

Review Sections

11 (A-I) Broad / 65 Medium-sized / 306 Basic

http://www.jsps.go.jp/j-grantsinaid/03_keikaku/data/h30/review_section_table.pdf

The Review Section Table (Overview)

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 Buddhist philosophy-related

05020	Public law-related
	national law-related

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-rela

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

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

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

- 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.

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 (Just yourself is also acceptable)

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)	Receives a share of the funds from PI and can use at own discretion
Collaborating Researcher	*renkei-kenkyusha*	**Eligible for application (e-Rad registration)**
CR	(Project member ; participation under supervision of PI or Co-I)	*Cooperates in the implementation of a research project *Doesn't have discretion regarding the use of grant funds.
Research Collaborator	*kenkyu-kyouryokusha*	No need to be elligible for e-Rad ragistration
	(cooperator to PI, Co-I or CR 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.

JSPS Grants-in-Aid for Scientific Research Page:

http://www.jsps.go.jp/english/e-grants/index.html

JSPS Grants-in-Aid Application Procedure Page

http://www.jsps.go.jp/english/e-grants/grants09_fy2018.html

Application Procedures for Grants-in-Aid for Scientific Research FY2018

Application Procedures	Supplement (Forms / Procedures for Preparing and Entering a Research Proposal Document)

Attached Table 2　Grants-in-Aid for Scientific Research-KAKENHI-　"Review Section Table"

Attached Table 3　Generative Research Fields

Attached Table 4　Generative Research Fields Review Division

Grants-in-Aid Application Forms

First Step:Enter registration information in JSPS's electronic application system.

The JSPS electronic application system

FY2018 Procedures for Preparing and Entering Application Information (to be entered in the Website) (Grant-in-Aid for Scientific Research（S）)

FY2018 Procedures for Preparing and Entering Application Information (to be entered in the Website) (Grant-in-Aid for Scientific Research（A/B/C）, Challenging Research(Pioneering/Exploratory), and Early-Career Scientists)

The procedures for Grant-in-Aid for Specially Promoted Research are included in Instructions PDF files of Second Step.

KAKENHI: Application Forms Download Pages

Applying for C, general ?

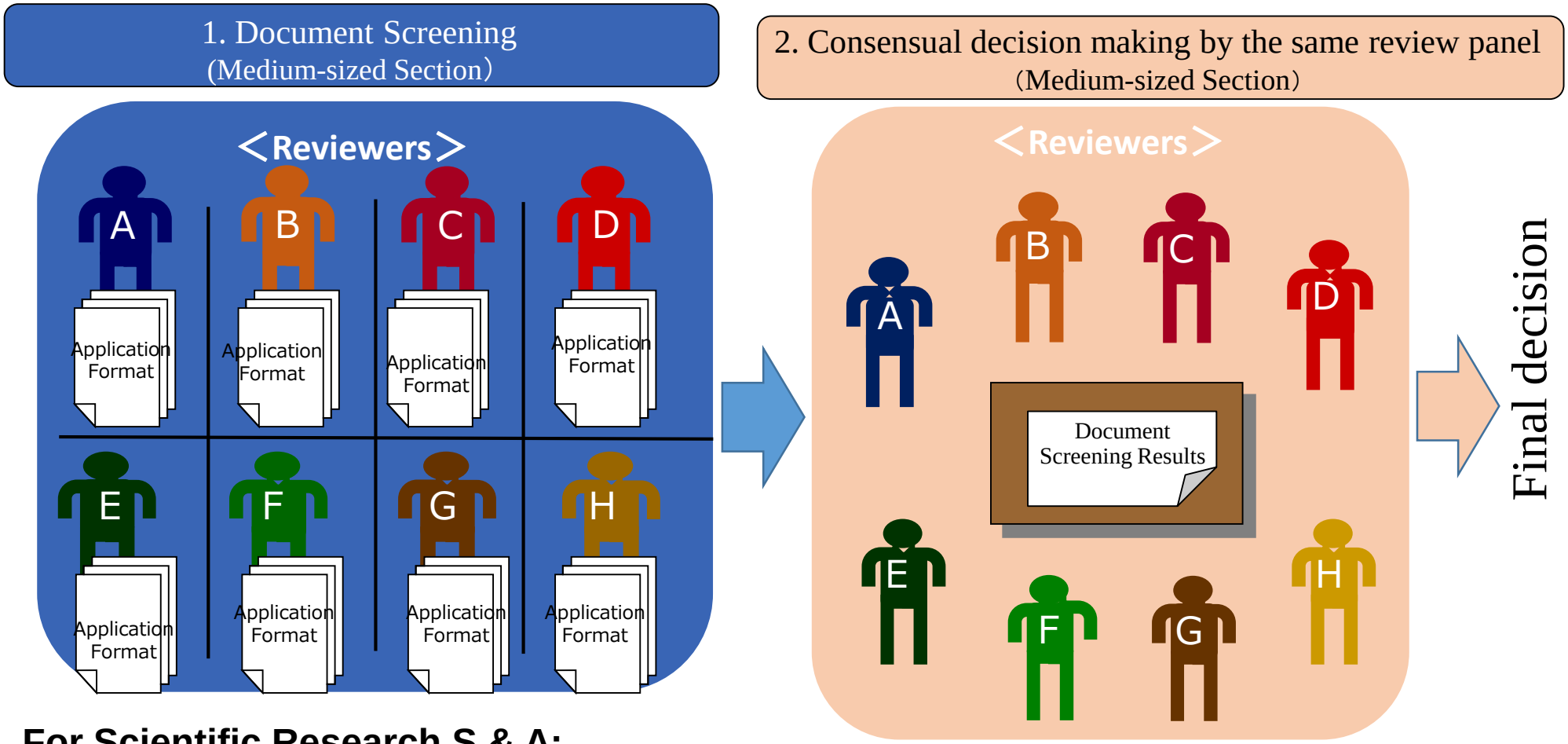
Form numbers	Research categories	Procedures for Preparing and Entering a Research Proposal Document	Application forms
S-1-1(1)	Grant-in-Aid for Specially Promoted Research (new)	PDF	PDF W
S-1-1(2)			PDF W
S-1-1(3)			PDF W
S-11	Grant-in-Aid for Scientific Research (S)	PDF	PDF W
S-12	Grant-in Aid for Scientific Research (A) (General)	PDF	PDF W
S-13	Grant-in Aid for Scientific Research (B) (General)	PDF	PDF W
T-1-1	Grant-in Aid for Scientific Research (B) (Generative Research Fields)	PDF	PDF W
S-14	Grant-in Aid for Scientific Research (C) (General)	PDF	PDF W
T-1-2	Grant-in Aid for Scientific Research (C) (Generative Research Fields)	PDF	PDF W
S-41	Grant-in Aid for Challenging Research (Pioneering)	PDF	PDF W
S-42	Grant-in Aid for Challenging Research (Exploratory)	PDF	PDF W
S-21	Grant-in Aid for Early-Career Scientists	PDF	PDF W

“Restrictions Tables” to check options for multiple applications (in varying capacities).
http://www.jsps.go.jp/j-grantsinaid/03_keikaku/data/h30/koubo.pdf check pp. 38－43.

Review Process 1: Comprehensive Review

- **Scientific Research (S, A)** and **Challenging Research**

Diversification of review



For Scientific Research S & A:

Panel composition: 6-8 reviewers

Document screening Scoring: S (10%), A(10%), B(10%), C(70%

Consensus Decision-making: Discussion on each Application Section until consensus is reached.

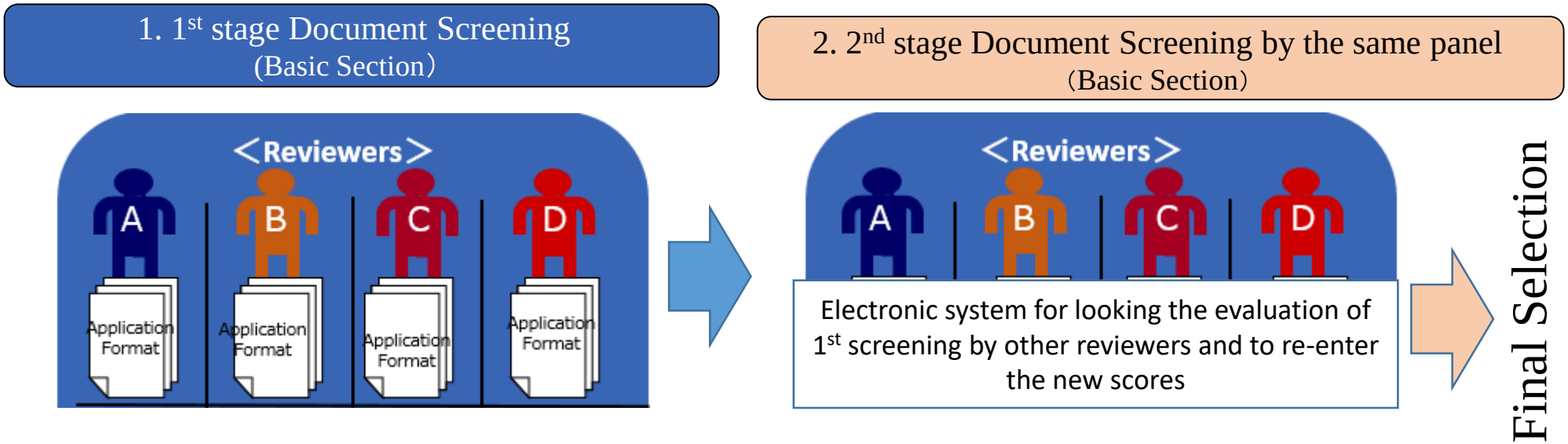
Presentation of Results: approximate list (with rank) and summary of review results

Source: modified from "Handouts at Kakenhi Seisaku Seminar at 07/29/2016"

Review Process 2: 2-tier Document Review

More efficient review

- **Scientific Research (B, C)** and **Early-Career Scientists Categories**



Panel composition: 6 reviewers for category B, 4 for category C and Early-Career Scientists
1st Document screening relative scoring:
4 (10%), 3 (20%), 2 (40%), 1(30%)

2nd Document screening relative scoring *(applicable for the applications at the selection borderline):*
A (for 1/3 of expected number of selections), B (as in the left), C (as in the left), D (all remaining)

Presentation of results: approximate list (with rank), scores (averages) for each item, and summary of review results

https://www.jsps.go.jp/j-grantsinaid/01_seido/03_shinsa/data/h30/kiban_bc.pdf

Rating Elements

(1) Academic Importance and Validity of Research Projects
(2) Validity of Research Objective and Research Method
(3) Appropriateness of Ability to Conduct
(4) Ripple Effect of Research Project

Scores for each element:
4 (Excellent)
3 (Good)
2 (Somewhat insufficient)
1 (Insufficient)

1st Stage

Overall Score and review comments by reviewers in the first stage review:

(1) Convert the scores to 4 grades according to the following distribution:
4: Very good(10%); 3: Good (20%); 2: Usual (40%); 1: Inferior(30%), - (conflict of interest) –

(2) Review comments (only in the first stage) → for use by reviewers in the 2nd review stage.
- Focus on pros and cons of the research project
- For “interested” projects, write down the reason
- Attach overall score (ignore "The Status of application .." and "Issues relevant to Huma..")
- Examine the "The Status of application..." and mention if “unreasonable duplication and/or excessive concentration in the grant allocation” is foreseen.

2nd Stage

(for projects in border and with extremely low scores by some reviewers):

For each project to be reviewed in the second stage, conduct comprehensive evaluation with focus on the rating elements (1) to (4), review comments etc. of all reviewers, assign 4 grades as follows: A (top priority); B (positive); C (may be adopted); D (others); - (conflict of interest)

Items to be checked for Validity of Research Expenditure:

(i) Is the content reasonable and effective use expected ?
(ii)Is anything (e.g., fund for purchasing equipment) truly necessary to carry out the research plan?
(iii) Will the funds, for which the proposed expenditure for equipment, travel expenses, personnel cost/honoraria is in excess of 90% , be used effectively ?

Summary of Major Points to be Included in the Research Proposal (continued)

- Each reviewer may handle many applications during a short period, and in average spends 1-2 hours to read and evaluate each proposal. So, writing should be concise & precise, understandable by non-specialist reviewers, preferably with diagrams.

	Section in Research Proposal	Items to be included
1.	Research Objectives, Research Method, etc.	(i) Scientific background of the proposed research: Key scientific question (ii) The purpose, scientific significance, and originality of the research project* (iii) What will be elucidated?, and to what extent? (iv) Concrete description of the roles of PI and the CO-I(s)
2.	Research Development Leading to Conception of the Present Research Proposal	(i) Applicant's research history and conception of the research proposal (ii) Domestic & overseas trends (proposed research); its position in relevant field. (iii) Applicant's hitherto research activities (iv) Preparation status and feasibility of the research plan
3.	Research Achievements of PI and Co-I(s)	● List of important achievements/activities that applicant(s) think important *(irrespective of direct relevance to the proposed research!)* ● No restrictions to the year of publication (no 5-yrs limit!) ● But, publications of Collaborating Researcher(s) (CRs) without the (co-)authorship of PI or CO-I should not be included
4.	Issues Relevant to Human Right Protection and Legal Compliance	As applicable.

* Besides the results expected, ripple effects such as practical applications fit this section.

KAKENHI Rules and Misconduct Prevention Training

For KAKENHI rules, please read **Research Handbook** available at:

http://www.hokudai.ac.jp/research/research_handbook_en_1704.pdf

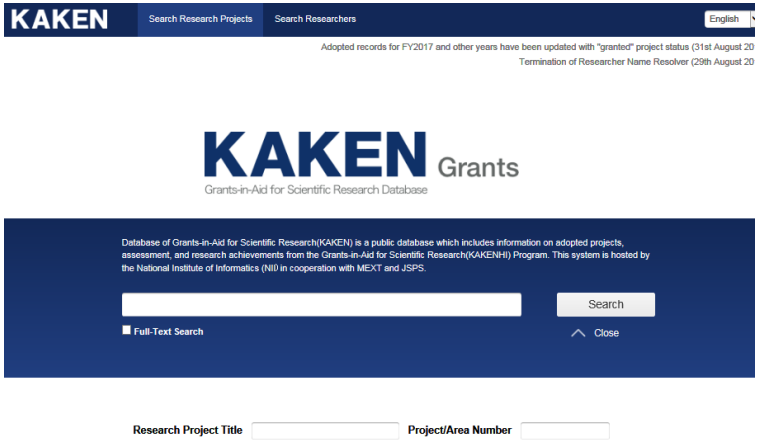
You are required to strictly adhere to KAKENHI rules

- Breaking the KAKENHI rules may result in deprivation from awards for several years (1-5 yrs; 10 years in case of use of the research fund for private purpose) depending on degree of misuse of the funds). PI may be penalized for co-investigators' misconduct.
- To be eligible for application and execution of KAKENHI project, you must take the course related to the use of the research funds. Please consult the followings pages and the latest instructions from your department office.
- Research Misconduct Prevention Training Implementation Framework
  http://www.hokudai.ac.jp/research/injustice/kensyu/29taiseizu_besshi1_en.pdf
- Research Misconduct Prevention Training Content and Attendance Method
  http://www.hokudai.ac.jp/research/injustice/kensyu/29kensyunaiyou_besshi2_en.pdf
- ELMS Registration Portal for taking the course
  http://www.hokudai.ac.jp/research/injustice/kensyu/29elmsriyoutouroku_besshi3_en.pdf
  Submission of similar proposals by different PIs, who know this fact, is not permitted!

KAKENHI Database & Acknowledging KAKENHI in 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 (see also slide 37)
https://www.jsps.go.jp/j-grantsinaid/01_seido/03_shinsa/index.html#hyouteikijun
- Check the Committee and Reviewers list (for previous years, *in Japanese)*
https://www.jsps.go.jp/j-grantsinaid/14_kouho/meibo.html

For the 1st stage screening (FY2016)
https://www.jsps.go.jp/j-grantsinaid/01_seido/03_shinsa/shinsa_meibo/first_28.html



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

Acknowledge 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.

Distribution of FY2014 Grants-in-Aid for Scientific Research

(New Selectees)

＊ [ ] Additional Funding for Indirect costs

Type of research	Number of application			Amount of grants disbursed (1,000 Yen)
	Submitted	Selected	Selection Ratio	
Scientific Research	100,462	26,714	26.6%	62,906,138 [18,766,869]
Specially Promoted Research	111	14	12.6%	1,331,500 [399,450]
Scientific Research on Innovative Areas (Research in a proposed research area)	6,475	1,035	16.0%	6,883,631 [2,065,089]
Scientific Research(S)	658	87	13.2%	3,207,000 [962,100]
Scientific Research(A)	2,544	583	22.9%	6,656,300 [1,996,890]
Scientific Research(B)	10,863	2,580	23.8%	12,446,700 [3,734,010]
Scientific Research(C)	35,329	10,549	29.9%	14,905,500 [4,471,650]
Challenging Exploratory Research	15,366	3,950	25.7%	5,762,100 [1,728,630]
Grant-in-Aid for Young Scientists(A)	1,810	409	22.6%	2,917,200 [875,160]
Grant-in-Aid for Young Scientists(B)	19,683	5,876	29.9%	7,505,400 [2,251,620]
Research Activity Start-up	3,689	920	24.9%	940,900 [282,270]
Encouragement of Scientists	3,934	711	18.1%	349,907
Publication of Scientific Research Results	1,014	439	43.3%	955,200
Grant-in-Aid for JSPS Fellows	2,617	2,617	–	2,909,520
Total	104,093	29,770	28.6%	66,770,858 [18,766,869]

HU's Rank for FY2014 among Top 22 Institutions:

- By No. of projects Selected (N(HU)=1724):
6th after U_Tokyo, Kyoto_U, Osaka_U, Tohoku_U. Kyushu_U

- By Amount Received:
7th, after U_Tokyo,Kyoto_U, Osaka_U, Tohoku_U, Kyushu_U, Nagoya_U

-By No. of Newly Selected Projects (N(HU)=635)
6th after, Tokyo_U, Kyoto_U,Osaka_U, Tohoku_U, Kyushu_U

Source: http://www.jsps.go.jp/english/e-grants/grants04_2014.html

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.

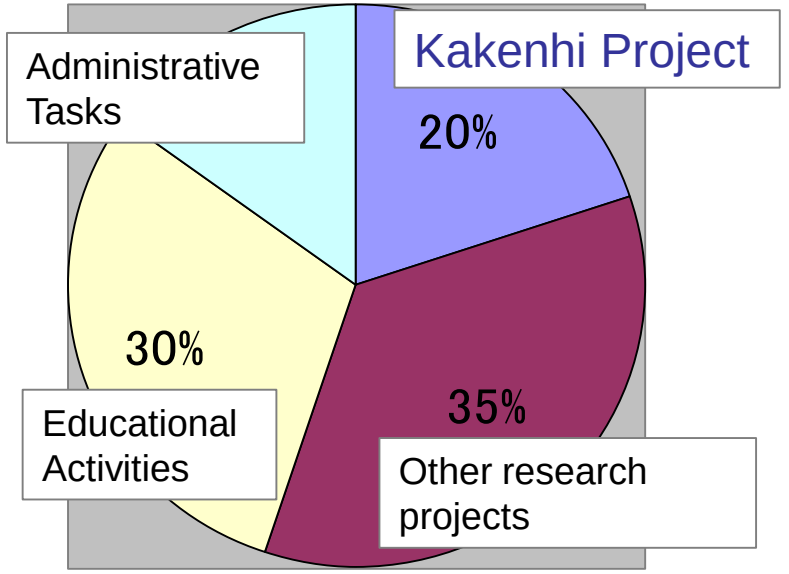
Total amount of time spent for the productive hours per week is **70 hrs.**

(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）

Practical tips for filling application: kiban_c_e2018.pdf (1)

http://www.hokudai.ac.jp/jimuk/gakunai/gaibu/image/kiban_c_e2018.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、外国人の方にその内容が分かるよう、便宜的に英訳も併記していますが、審査に付す際には、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.

平成30年度(2018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) (FY2018)

平成XX 年XX月XX日
September 1st, 2017
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.

3. Research Achievements of the Principal Investigator (PI) and Co-Investigator(s) (Co-I(s))

In this column, selected research outputs by the PI and Co-I(s) such as papers, books, patents, and invited talks, should be listed within 2 pages. The list items should be numbered in a chronological (either descending or ascending) order. Papers under submission can be included only if they are already accepted for publication.

【PI DAIHYO TARO】
下記○件の他、これまで論文○報、著書○冊、

1．Daihyo T, Yamada T, Dihoku H, Buntan S, Nakajyou S. Air enema for diagnosis of intussusceptions. Radiology. 2016.150.1345-1356 doi：10. 1000/XXXX/0000. 12（査読有）

2．Sato M, Ito K, Sasaki T, Daihyo T. Infantile didital fibromatosis: an unusual localization. J Pediatr Surg. 2016.36.1587-1589（査読有） peer-reviewed

3．Yamada Y, Daihyo T, Kurokabe T（他１０名、２番目）. The function of xxxxxxxxxx in xxxxxx. Science. 2016.36.1587-1589（査読有）

4．Daihyo T. The function of xxxxxxxxxxx in xxxxx, Gakkai2015, London, 2016.（招待講演） invited talk

5．Buntan S, Daihyo T, Yamada K, Kodama N, Ishikawa H. Diffusion coefficient of electrons in real space. IEE Proc, No.3, in press.（査読有）

11．Daihyo T, Matsuda T, Kurokabe T, Nishi Y, Renkei K. Let's Search for tomorrow, Gakkaishi, 20, 75-76, 2012.（査読無） without peer-review

12．（特許申請） Patents Patent No.
○○○の予防または治療薬、発明者（ 北海道大学、代表太郎、分担三郎）、特願2012-60837

PI (2nd among 8 other co-authors)

13．○○△△、代表太郎（他８名、２番目）、「○○○を用いた△△△の□□□」、◎◎学会誌、4 巻、250-260（ 2012）（査読有）

Practical tips … (3)

- Pay attention to the different research expenditure categories