

KAKENHI

What's really going on...



JAPAN SOCIETY FOR THE PROMOTION OF SCIENCE

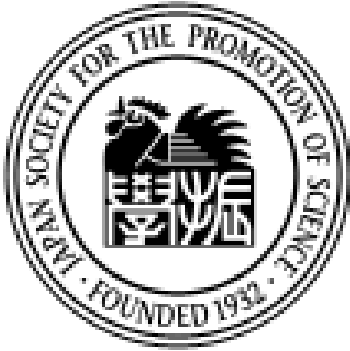
日本学術振興会

Kotaro KODERA

July 25, 2016

Overview of Kakenhi

Japan Society for the Promotion of Science 日本学術振興会



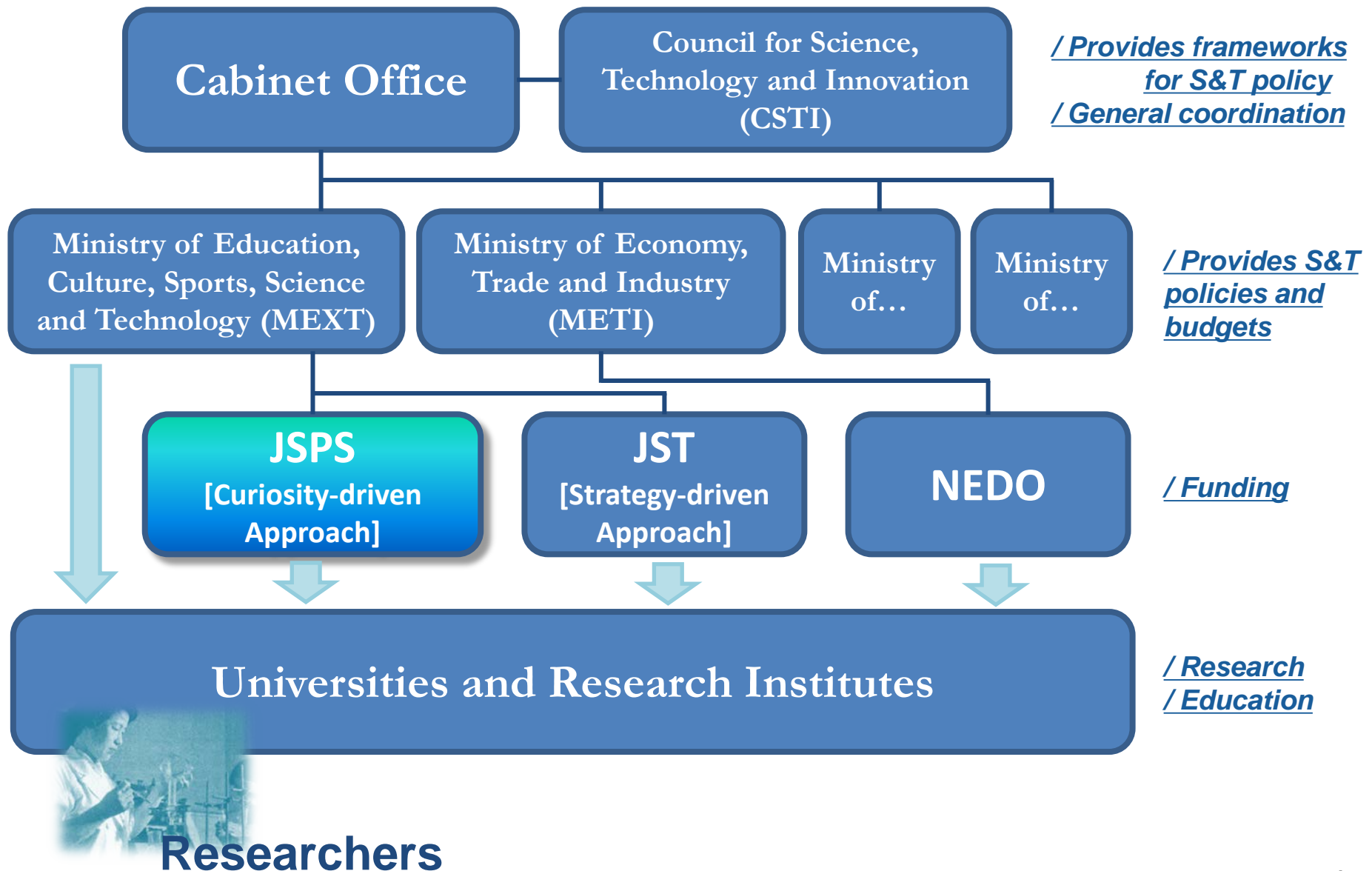
- Established in 1932

4 Major Objectives of JSPS

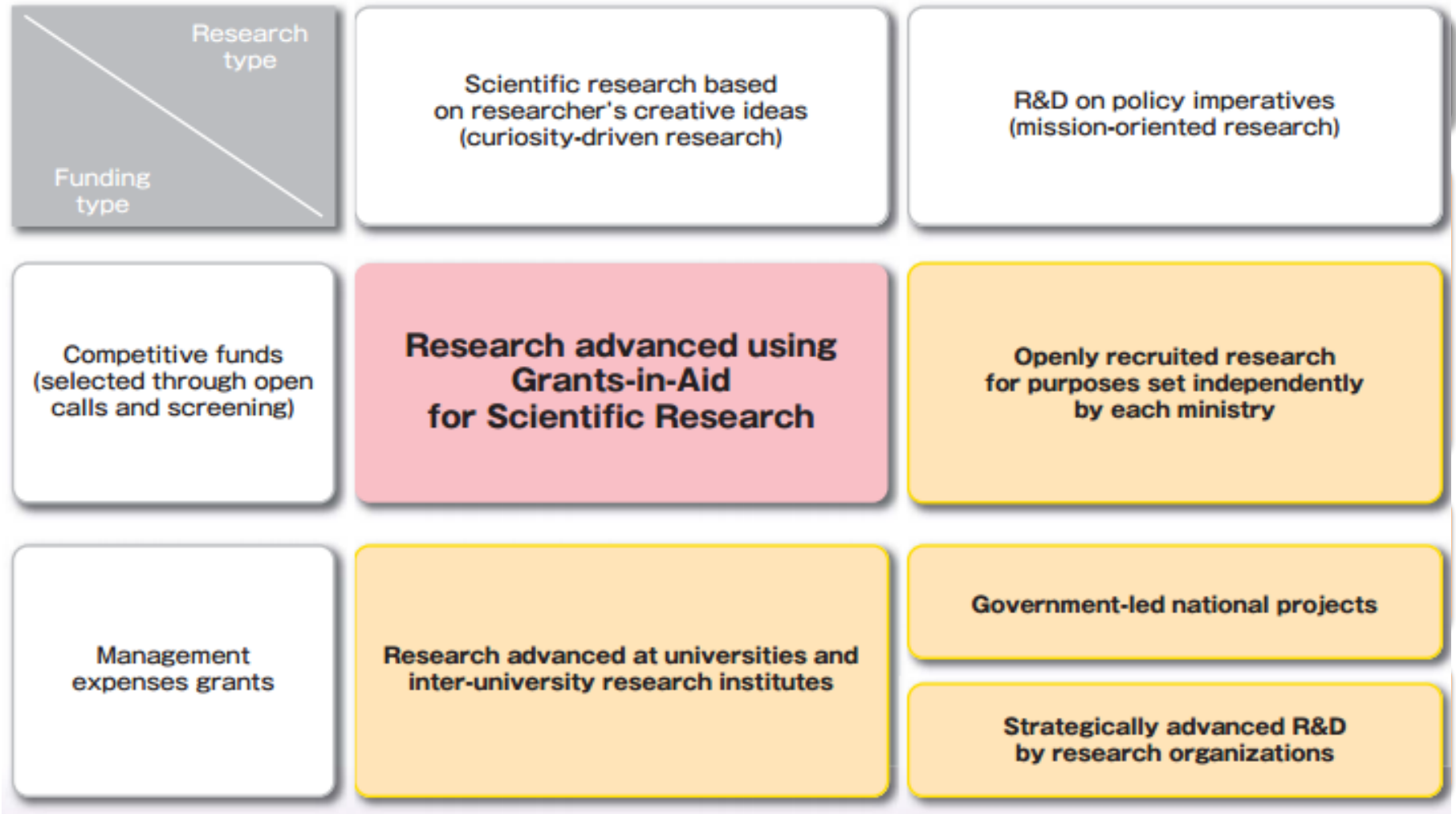


- Create world-class knowledge in diverse fields
- Build robust international cooperative networks
- Foster the next generations and enhance the education/research functions of universities
- Build evidence-based science-promotion systems and strengthen linkage with society

S&T Policy System in Japan



Kakenhi within Japan's S&T Research Policy Framework



*Kakenhi is awarded based on the rigorous screening of research plans submitted by researchers. This type of program is called "competitive funding".

Kakenhi is the largest competitive funding program in Japan, accounting for more than 50% of all competitive funding by the government. (FY2015 Budget: 22.73 billion yen)

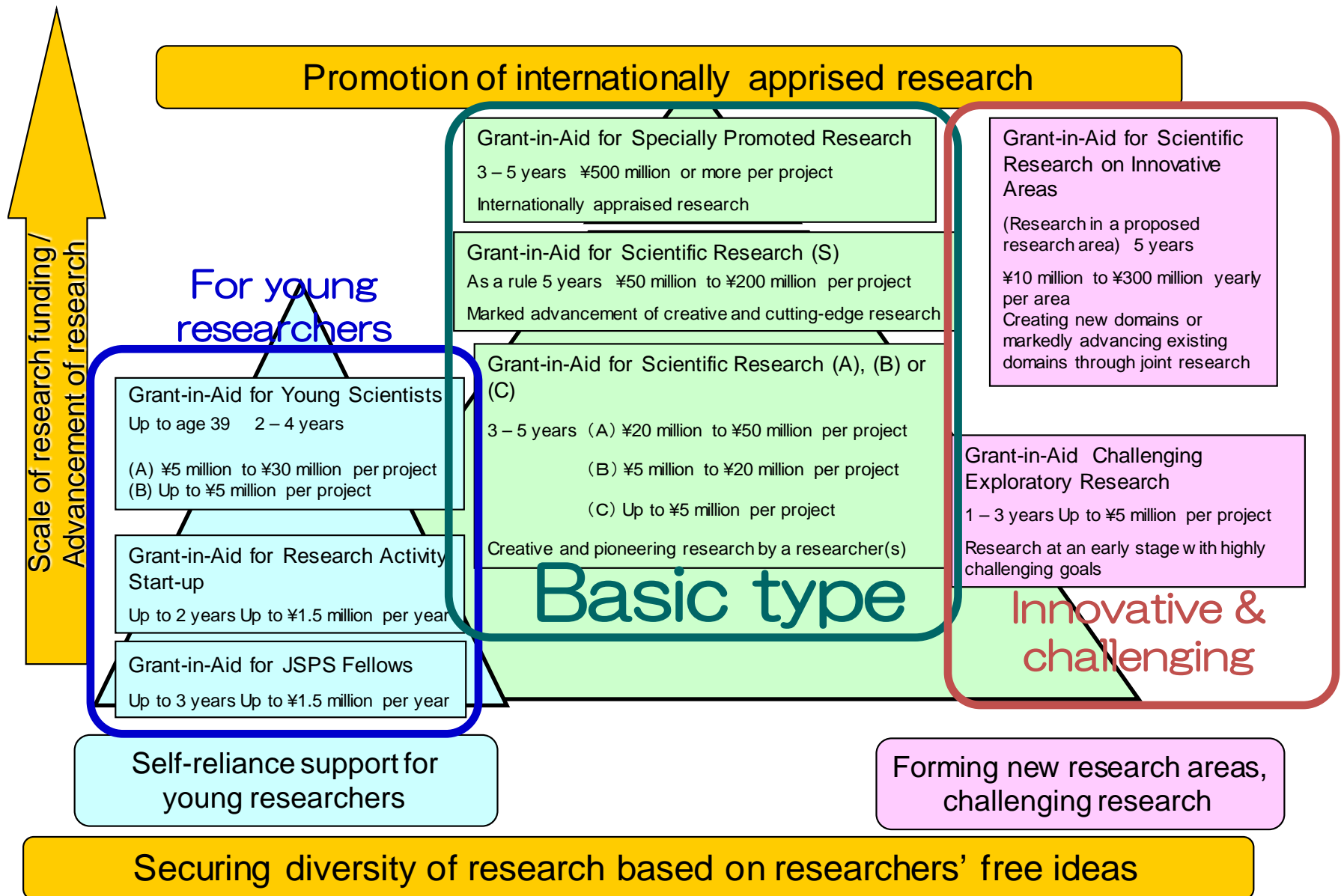
Characteristics of Kakenhi

- Supports unique, pioneering basic and applied “academic research (based on researcher’s creative ideas)”.
- Wide spectrum of scientific fields, ranging from humanities and social sciences to natural sciences
- Established fair and transparent screening system via process of peer review conducted by specialists in related areas of expertise.
- Flexible use of funds as necessary to conduct the proposed research.
- Research funds are administered by research institute to maintain its proper use.
- Strict measures against improper use of funds and research misconduct, such as return of the spent fund and restriction of application.

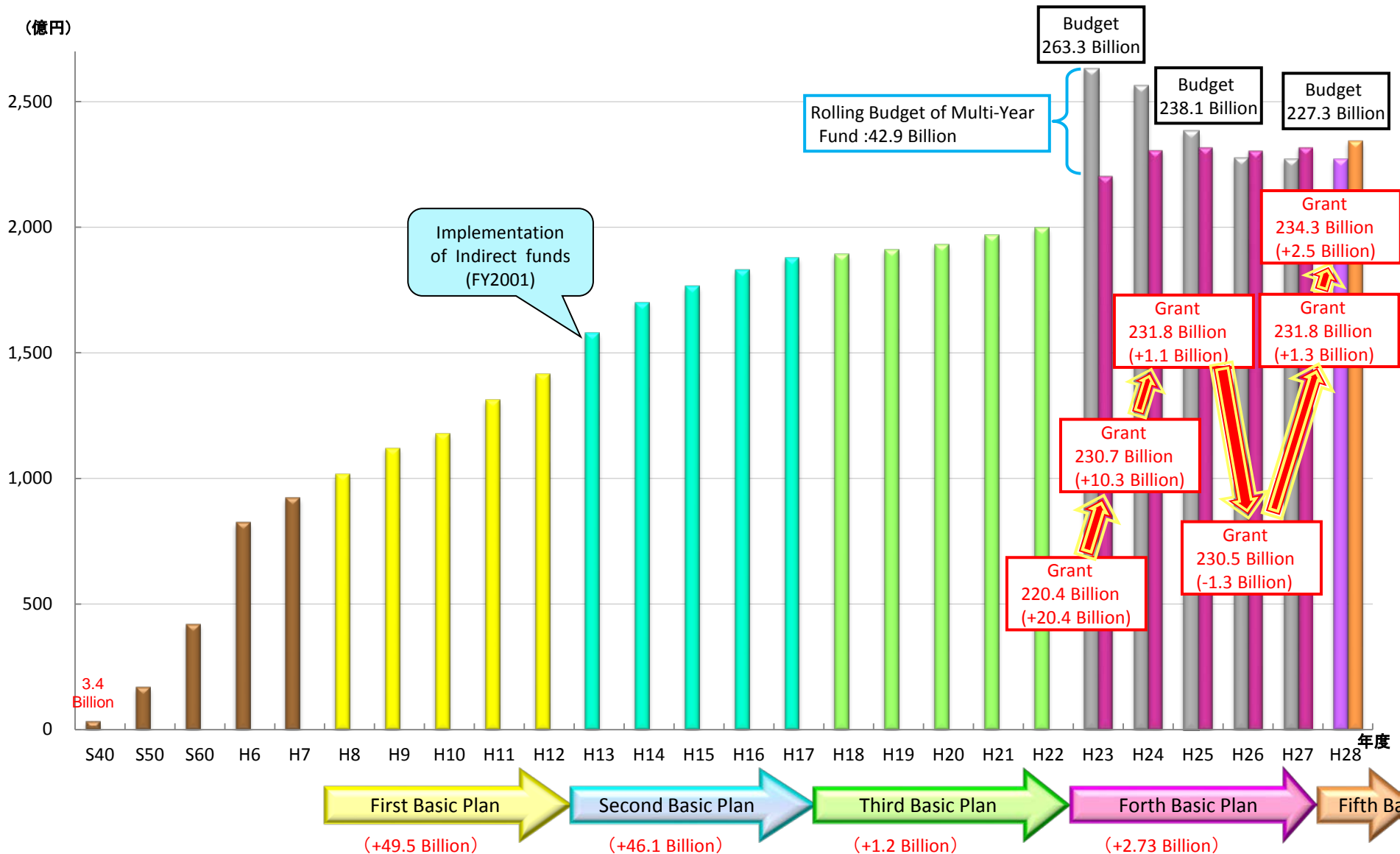
Type of Grants Programs

Type of research	Purposes and description of the research category	Agency
Grants-in-Aid for Scientific Research		
Grants-in-Aid for Specially Promoted Research	Highly regarded research in the international arena conducted by one researcher or a relatively small group of researchers and is likely to yield highly acclaimed research achievements. (The period is three to five years. The upper limit of the total budget provided is generally set around 500 million yen per research project, though no exact budget range has been established.)	JSPS
Grants-in-Aid for Scientific Research on Innovative Areas	(Research in a proposed research area) New research areas proposed by a group of diverse researchers which, through efforts for collective research, scholarly training, shared use of equipment, etc., will develop and lead to the upgrading and enhancement of scientific research in Japan. (The period is five years. In principle, the budget is set at around 10 million to 300 million yen per fiscal year per field.)	MEXT(Evaluation) JSPS(Funding)
Grants-in-Aid for Scientific Research	(S): Creative/pioneering research conducted by one researcher or a relatively small group of researchers (The period is five years. The budget ranges from 50 to around 200 million yen per project.) (A), (B), (C): Creative/pioneering research done conducted by one researcher or jointly by multiple researchers (The period is three to five years.) Classification of A, B and C depends on the total budget (A) From 20 million to 50 million yen, (B) From 5 million yen to 20 million yen, (C) 5 million yen or less	JSPS
Grants-in-Aid for Challenging Exploratory Research	Early-stage research conducted by one or multiple researchers which, based on a unique idea, sets a high and challenging goal (The period is one to three years. The budget is up to 5 million yen per project.)	JSPS
Grants-in-Aid for Young Scientists	(A), (B) : Research conducted by one researcher aged 39 or less (The period is two to four years.) Classification of A and B depend on the total budget (A) from 5 million yen to 30 million yen (B) 5 million yen or less	JSPS
Grants-in-Aid for Research Activity Start-up	Research conducted by one researcher who has just been employed by his/her research institution by one researcher who has returned from his/her childcare or other kinds of leave (The period is up to two years. The budget is up to 1.5 million per fiscal year.)	JSPS
Grant-in-Aid for JSPS Fellows	Funding for research conducted by JSPS Fellows (including Foreign JSPS Fellows) (for a period of up to three years)	JSPS

Kakenhi Research Categories



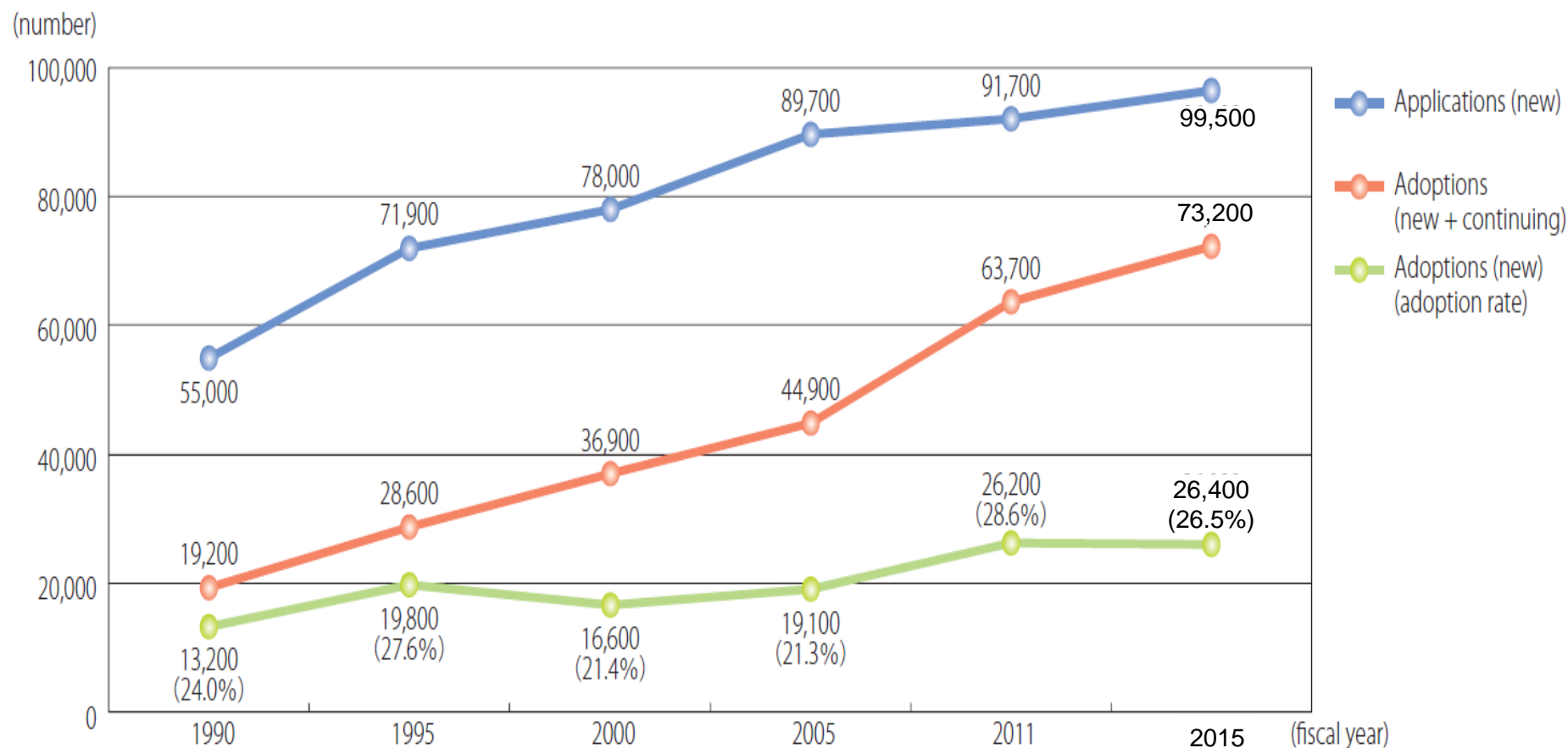
Budget Transition



※ Budget indicated is the initial one

※ Grant has been indicated separately since 2011FY as some projects started to be placed under Multi-Year Fund and research costs started to be included in the budget.

Huge Number of Applications



Notes:

- Breakdown among Grants-in-Aid Specially Promoted Research, Scientific Research on Priority Areas, Scientific Research on Innovative Areas, Scientific Research, Challenging Exploratory Research, Grant-in-Aid for Young Scientists, Grant-in-Aid for Research Activity Start-up, and Encouragement of Scientists (fiscal 2015).
- The graph above summarizes KAKENHI with the exception of the Encouragement of Scientists category. Results for fiscal 2015 also exclude research projects under the Generative Research Fields category.

FY2015 KAKENHI Distribution Table (Newly selected)

As of November 2015

Type of research	Number of projects			Total Amount
	Submitted	Selected	Selection Ratio	
Scientific Research	Number of application [100,462] 103,434	Selected number [26,714] 27,091	% [26.6] 26.2	(Unit: 1000Yen) [62,906,138] 63,929,159
Specially Promoted Research	[111] 106	[14] 14	[12.6] 13.2	[1,331,500] 1,435,200
Scientific Research on Innovative Areas (Research in a proposed research area)	[6,475] 6,342	[1,035] 1,016	[16.0] 16.0	[6,883,631] 6,793,500
Scientific Research(S)	[658] 661	[87] 87	[13.2] 13.2	[3,207,000] 3,296,100
Scientific Research(A)	[2,544] 2,585	[583] 597	[22.9] 23.1	[6,656,300] 6,870,900
Scientific Research(B)	[10,863] 11,396	[2,580] 2,638	[23.8] 23.1	[12,446,700] 13,078,800
Scientific Research(C) * 1	[35,329] 36,843	[10,549] 10,975	[29.9] 29.8	[14,905,500] 15,003,800
Challenging Exploratory Research * 1	[15,366] 16,757	[3,950] 3,952	[25.7] 23.6	[5,762,100] 5,628,100
Young Scientists(A)	[1,810] 1,736	[409] 389	[22.6] 22.4	[2,917,200] 2,839,800
Young Scientists(B) * 1	[19,683] 19,272	[5,876] 5,771	[29.9] 29.9	[7,505,400] 7,620,100
Research Activity Start-up	[3,689] 3,777	[920] 943	[24.9] 25.0	[940,900] 1,012,900
Encouragement of Scientists	[3,934] 3,959	[711] 709	[18.1] 17.9	[349,907] 349,959
Grant-in-Aid for Publication of Scientific	[1,014] 949	[439] 403	[43.3] 42.5	[955,200] 914,100
Grant-in-Aid for JSPS Fellows	[2,828] 2,690	[2,828] 2,690	[—] —	[3,044,540] 2,616,800
Total	[104,304] 107,073	[29,981] 30,184	[28.7] 28.2	[66,905,878] 67,460,059

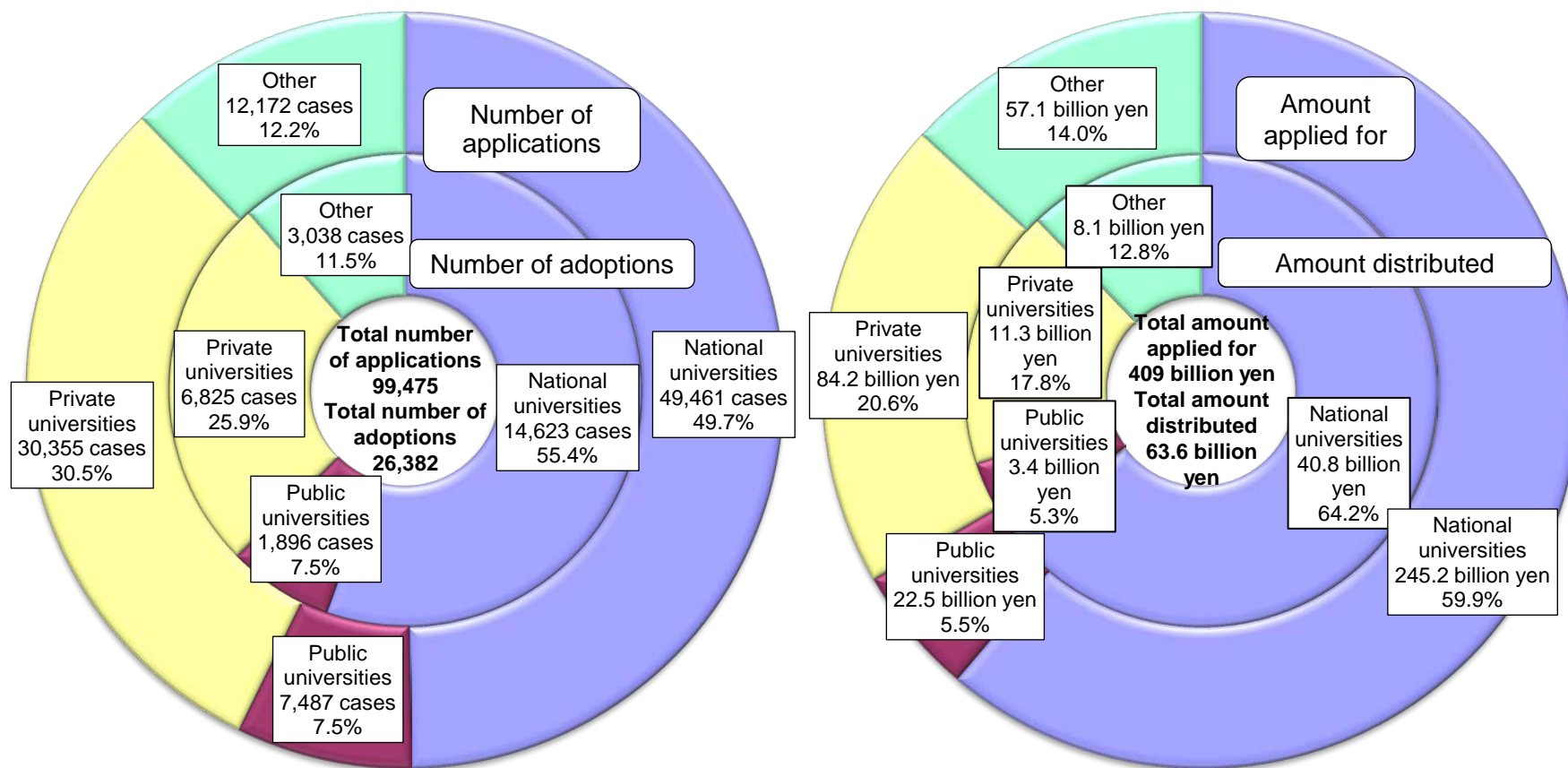
(Note1) [] represent previous year

(Note2) * 1、Part of this fund is multi year fund、amount listed in this table is limited to FY2015 distributed amount.

(Note3) Excluding Fund for Generative Research Fields and Grant-in-Aid for Special Purposes.

State of distribution in fiscal year 2015

(By class of research organization) (New)

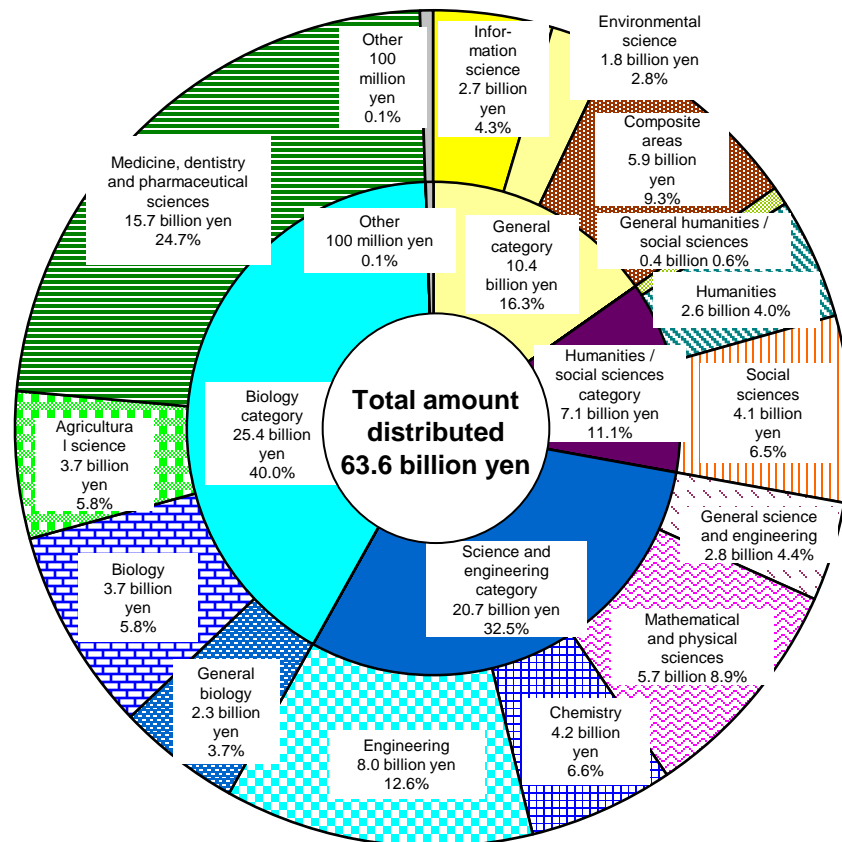
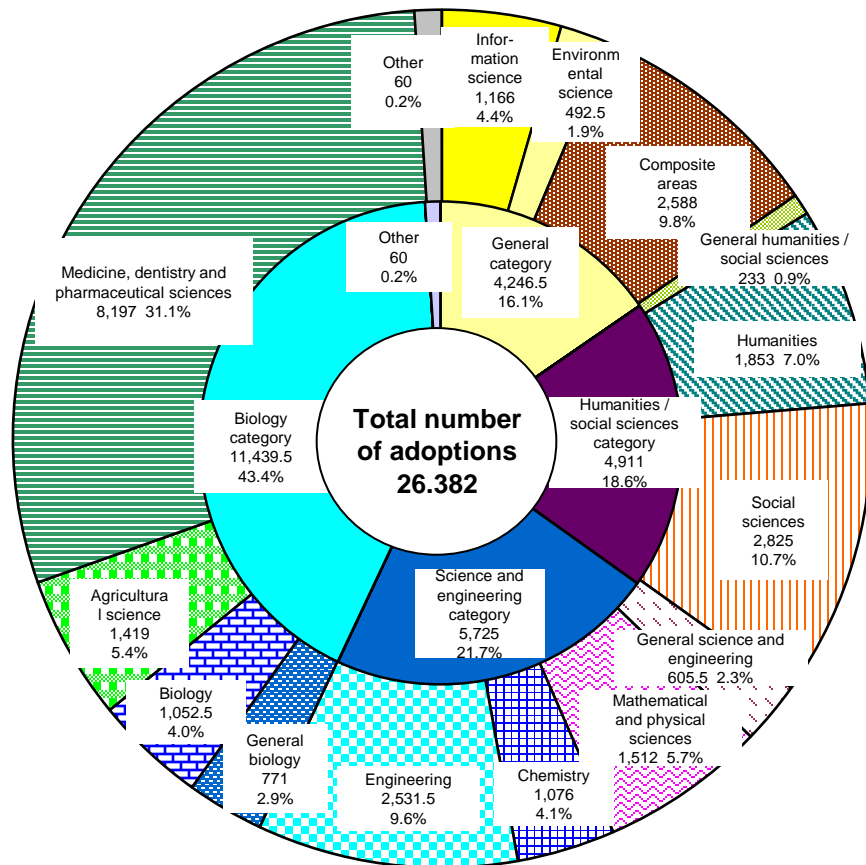


(Note 1) Of KAKENHI distributed in fiscal year 2015, that classified with regard to distribution of Grants-in-Aid for Specially Promoted Research, Grants-in-Aid for Scientific Research on Innovative Areas (research in proposed research areas), Grants-in-Aid for Scientific Research (S, A, B or C), Grants-in-Aid for Challenging Exploratory Research, Grants-in-Aid for Young Scientists (S, A or B) and Grants-in-Aid for Research Activity Start-up (new adoptions) (excludes Encouragement of Scientists and Generative Research Fields).

(Note 2) The total and breakdown figures may not match for reasons related to rounding off.

State of distribution in fiscal year 2015

(By research area) (New)



- (Note 1) Of KAKENHI distributed in fiscal year 2015, that classified with regard to distribution of Grants-in-Aid for Specially Promoted Research, Grants-in-Aid for Scientific Research on Innovative Areas (research in proposed research areas), Grants-in-Aid for Scientific Research (S, A, B or C), Grants-in-Aid for Challenging Exploratory Research, Grants-in-Aid for Young Scientists (S, A or B) and Grants-in-Aid for Research Activity Start-up (new adoptions) (excludes Encouragement of Scientists and Generative Research Fields).
- (Note 2) Number of cases and amount distributed aggregated on a pro rata basis for cases selecting two research fields as areas for proposed review in young scientist (B) adoption issues.
- (Note 3) The total and breakdown figures may not match for reasons related to rounding off.

Application and review process

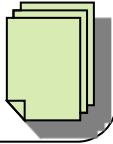
Selection Process for Kakenhi (FY 2016)

※"Scientific research "....."Scientific research (A・B・C) (General)", "Challenging Exploratory Research",
"Grand-in -Aid for Young Scientists (A・B)"

Beginning of Sept. 2015

JSPS sends the application guideline to each institute

(Approx. 1,800 institutes)



The committee finalizes screening and evaluation guidelines (Beginning of Oct.)

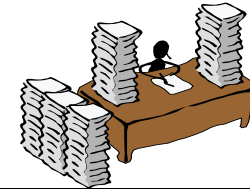


Explanatory meetings regarding submission of applications
(8 areas, beginning of September)



November 10: Application Deadline

Applications received
(Approx. 87,000 new proposals)



Middle of Nov.-Beginning of Dec.

Application sorting



Beginning of Dec.- Middle of Jan.

【Document review (1st stage)】

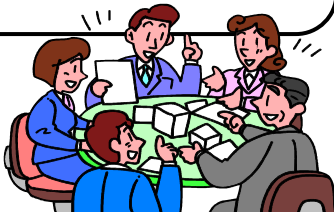
Individual document review by researchers according to their specialization.
(Approx. 5,000 researchers)



Middle of Feb.-Beginning of Mar.

【Panel review (2nd stage)】

Panel review by organized committees based on the result of document review
(Approx. 600 researchers)



Middle of Jan.-Middle of Feb.

Check the result of the 1st review



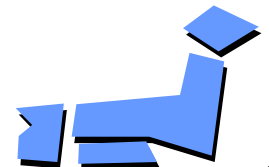
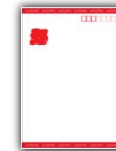
Middle of Mar.-end of Mar.

Confirmation of final results



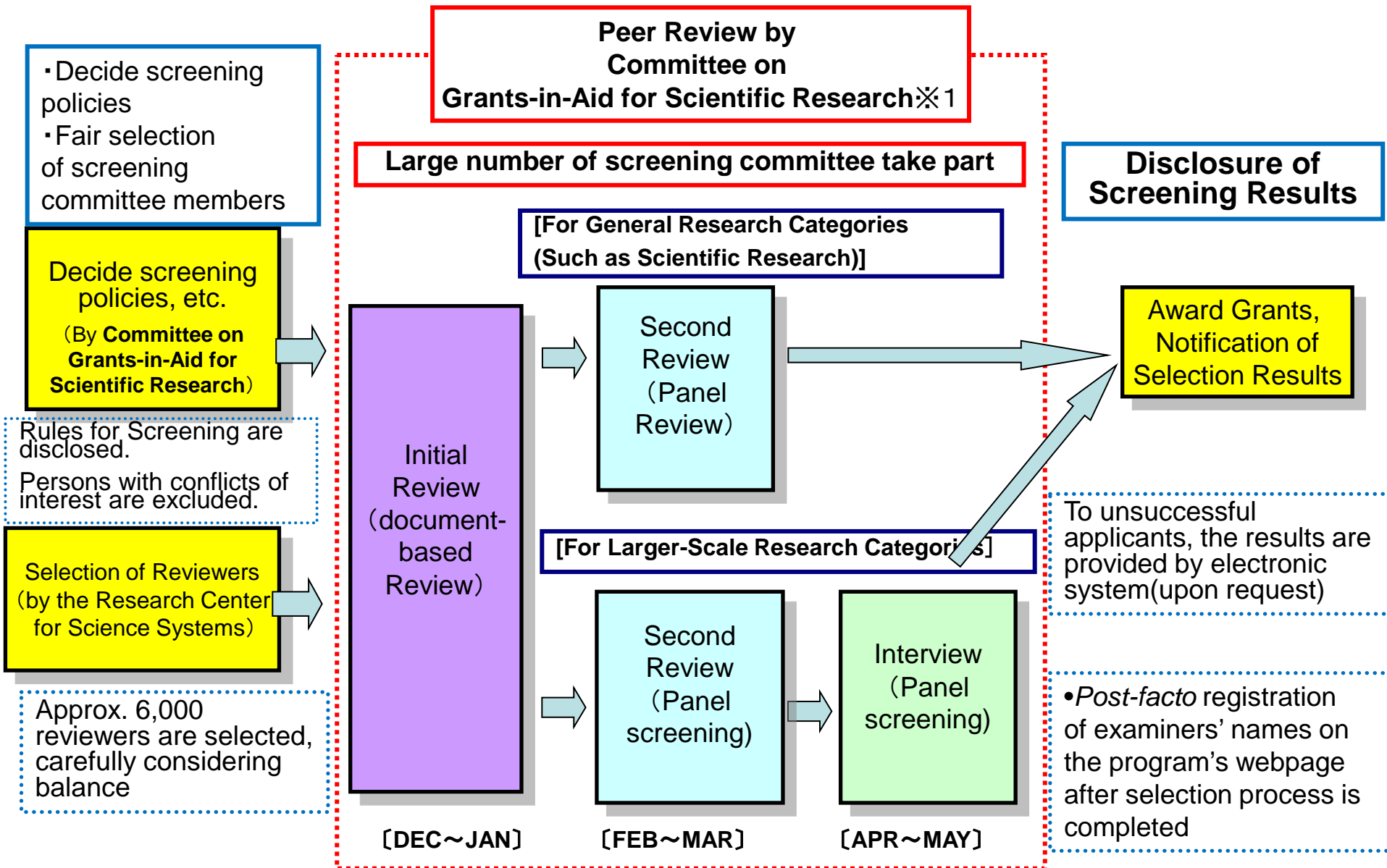
April 1, 2016

JSPS informs final results to each institute



Screening Process of KAKENHI

—Fair and Transparent Screening Process—



Screening Result (e-application system)

1. Your application was ranked "A, B, or C" among the non-selected applications.

A	Top 20% of the non-selected applications
B	21% - 50% of the non-selected applications
C	Did not reach the top 50% of the non-selected applications

2. Your score on the 1st documentary screening is as below.

Evaluation criteria	Average score of your application (four reviewers)	Average score of awarded projects
① Academic Importance and Adequacy of the proposed research	1.00 to 4.00	Example: 3.70
② Adequacy of research plan and methods	1.00 to 4.00	Example: 3.65
③ Creativity and innovation of the proposed research	1.00 to 4.00	Example: 3.50
④ Ripple effects and universality of the proposed research	1.00 to 4.00	Example: 3.65
⑤ Ability to conduct research and appropriate research environment	1.00 to 4.00	Example: 3.70
⑥ Relation between the proposed research and the current project which had a mid-term evaluation	1.00 to 4.00	Example: 3.40

Evaluation Criteria	Evaluation items	# of reviewers
1. Academic Importance and Adequacy of the proposed research	Is the research theme academically important and should it be promoted?	
	Are the research concept and objectives specifically and clearly described?	
	Does the significance of the research warrant the amount applied for?	* *
2. Adequacy of research plan and methods	Is the research plan sufficiently well developed to achieve the research goal?	
	Have various aspects been considered in executing the research plan, such as what to do if the research does not progress as planned?	
	Is the research period appropriate?	*
	Is the cost allocation appropriate?	
	If the representative of the research group is involved in other research as a part of his/her duties or involved in research other than the subject of the grant proposal, is the relevance to and distinction from the proposed research clearly stated?	
	Does the proposed research plan fall under any of the types listed below, which are not accepted for grants? 1. Research plan with the objective of purchasing ready-made research equipment 2. Research plan with the objective of creating large-scale research equipment more appropriate to other funding 3. Research plan with an objective directly related to the development and sale of a product or service (including market surveys related to the development and sale of a product or service) 4. Commissioned research undertaken as work	
	If the applicant has a project that is related to the proposed project and reaching the final year, is the applicant's research plan clearly stated and is it feasible for the next year?	

Main Role of the Research Center for Science Systems for KAKENHI

[JUL~AUG]

Selecting and nominating candidates as first and second reviewers, names drawn from "Reviewers Database" (Approx. 6,000 reviewers)

Researchers in the Center
are not involved
in screening and selecting

[APR~JUL]

Appoint reviewers, considering screening process and application procedures

SEP

Publishing Application Procedures

Selecting a writer of [recent outcome of research in [KAKENHI NEWS] (throughout the year)

NOV

**Accepting Research Proposal
Appointing Reviewers**

Notification of Selection Results

Initial Screening

Second Screening

DEC~JAN

[APR~JUN]

APR

FEB~MAR

Verification of screening results of the first and second screening

- Reviewers who perform inappropriate reviews will not be asked to participate in future reviews
- Selecting and recognizing reviewers who rendered valuable opinions in reviewing (170 reviewers are recognized in 2014).

Leading Screening Committee, explaining information etc. (Involves running the second screening)

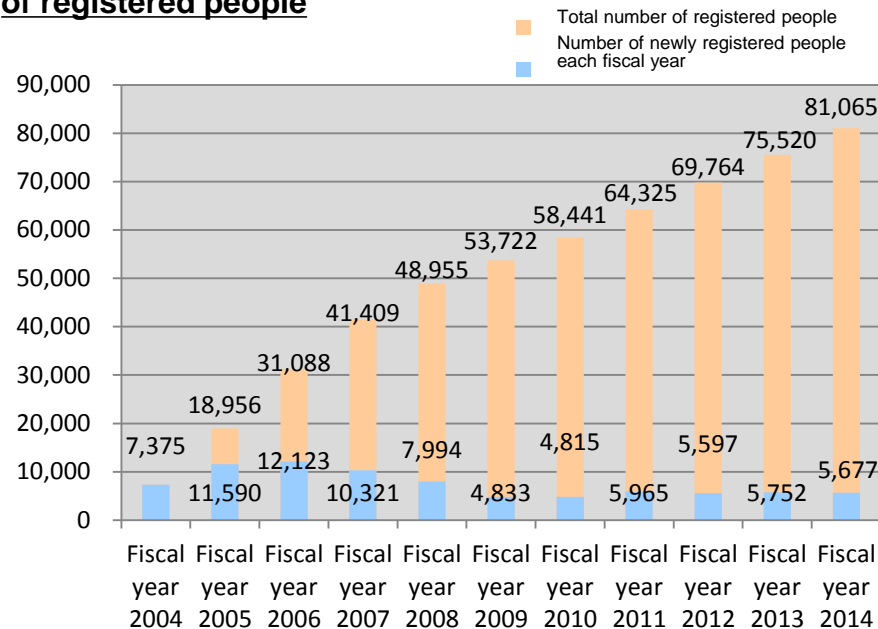
The database of review committee member candidates

Overview of the database of review committee member candidates

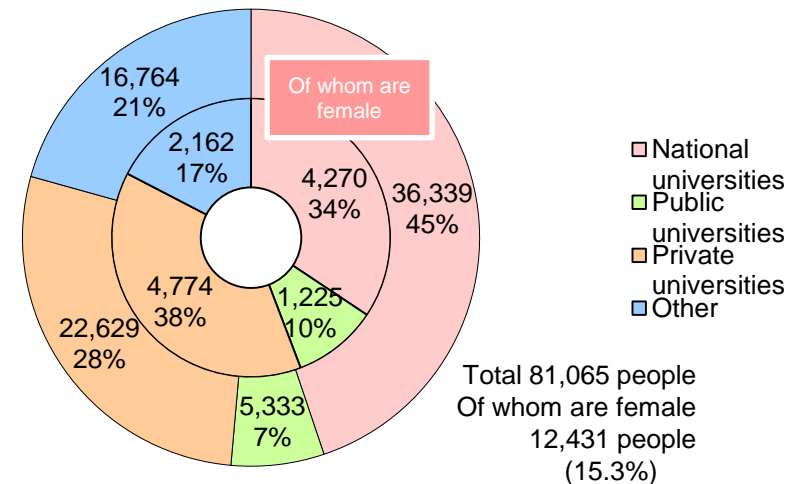
- Maintained since 2004 KAKENHI research representatives, etc., are registered each year
- KAKENHI research representatives
 - ... Sequential registration from research representatives of large research projects
 - Research representatives from prior to fiscal year 2003 were also registered in 2007
- Researchers registered on the database
 - ... Confirmation / upgrading of data by researchers themselves is requested once a year

* **Confirmation / upgrading of data is very important for the selection of more appropriate review committee members (upgrading throughout the year is possible)**

1. Trend in the number of registered people



2. Number of registered people by institution



Management and appropriate use of Kakenhi

“Kakenhi” management by institution

Kakenhi is awarded to PI of project, but it **should be managed by institution** so that researcher can concentrate on research.

○ Usage rule for researcher (conditions of subsidy)

Use of Kakenhi in accordance with rules of each institution

○ Usage rule for institution (admin work conducted by each institution)
Managing direct expense on behalf of a researcher. Regarding what is not stated in this regulation, **each institution properly handles based on its institutional rule** and “the guidelines of management and audit of public funding”



Currently, each institutional rule of Kakenhi is strongly affecting usability of direct expense.

Direct and indirect expense of Kakenhi

Direct expense is...

These are expenses that are directly necessary for the execution of the research. They are broadly categorized as: Goods expenses, Travel expenses, Labor expenses and honorarium, and Others.

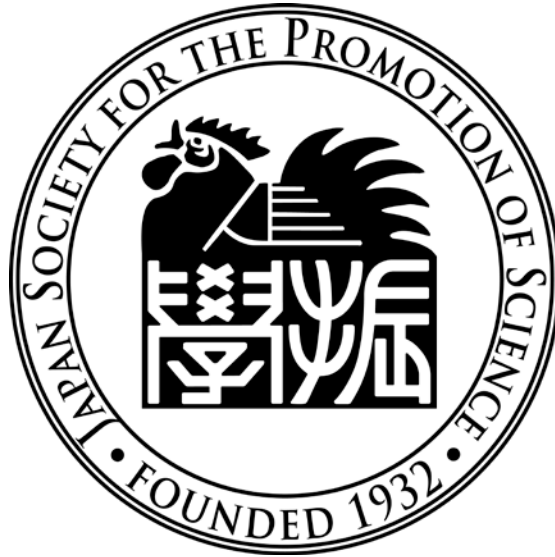
Indirect expense is...

These are necessary expenses that accompany the execution of the research such as management expenses for the research institution, improvements in the environment for the research representative and the research project members, and improvements to the functions of the research institution overall.

“Using KEKENHI” ∼ Important rules to be followed ∼

- ✓ Follow organizational rules for utilization of KEKENHI**
- ✓ As an authorized institution, implementation of comprehensive rules is required**
- ✓ When you are in doubt you can consult with the administration staff in charge. (It can lead to unauthorized use in a lack of understanding for the rule)**
- ✓ Please keep in mind that the KAKENHI is funded by Tax**

Thank you!



Crowing Rooster

Harbinger of new knowledge that promises a
brilliant future for humankind.

- Please visit KAKENHI website -
www.jsps.go.jp/english/e-grants/index.html