

New Initiatives for Research Funding Administration Reform in Japan

- Activities of "ORFA (Office of Research Funding Administration)" -

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Content

- What is “ORFA” ?
- Background
- “moth” or “mold” ?
- Countermeasures for misuse
- Steps toward effective and efficient funding system

What is “ORFA” ?

- ORFA = “**O**ffice of **R**esearch **F**unding **A**dministration”
 - since October, 2007
 - Science and Technology Policy Bureau
Ministry of Education, Culture, Sports,
Science and Technology (MEXT)
 - 9 staff

What is “ORFA”?

1. Planning and conducting countermeasures against misuse of research fund

2. Developing research funding reform

- ex. - Cross-Ministerial “R&D management system”
- Common rules for funding administration

* Other division covers “Scientific misconduct” issues.

Countermeasures against misuse of research fund

Background

Increasing Budget for Competitive fund (16% of total S&T Budget)

Recent Actions

- Heavier Penalties
- Clarification of Institution's responsibilities

The case of misuse by a famous Japanese researcher in 2006

Guiding Principle for Misuse of Competitive Research Funds (Aug 31st, 2006)

CSTP

New Actions

Guidelines for Management and Auditing of Public Research Fund at Research Institutes (Feb. 15th, 2007)

MEXT

1. Clarification of responsibilities within institutes
2. Improvement of the environment that enables appropriate operation and management
3. Identification of the risk of misuse and establishment and implementation of countermeasures
4. Appropriate use/management of research funds
5. Establishment of a system that secures communication
6. Monitoring within institutes
7. MEXT's monitoring, guidance and enforcement actions

Science and Technology Basic Plans



S&T Basic Plans are formulated to implement a 5-year S&T policy with a 10-year outlook, based on the S&T Basic Law.





Total expenditures for Governmental R&D Investment: **approx. 25 trillion yen**

< Basic Stance >

1. Continuous improvements in the level of science, and returning the fruits of research to society and the public through innovation.
2. Emphasis on the training of human resources and the establishment of a competitive environment.

< 6 Policy Goals >

1. Quantum jumps in knowledge discovery & creation
2. Breakthroughs in advanced S&T
3. Sustainable development – economic growth & environment protection –
4. Innovator Japan – strength in the economy & industry –
5. Nation's good health over a lifetime
6. Making Japan the world's safest country

< Strategic Priority Setting in S&T >

1. Promotion of basic research
2. Four primary priority fields, four other fields to be promoted, promotion strategies of each of the 8 fields
3. Strategic Prioritized S&T topics
(Key technologies of national importance, Safety and security, International competitiveness)

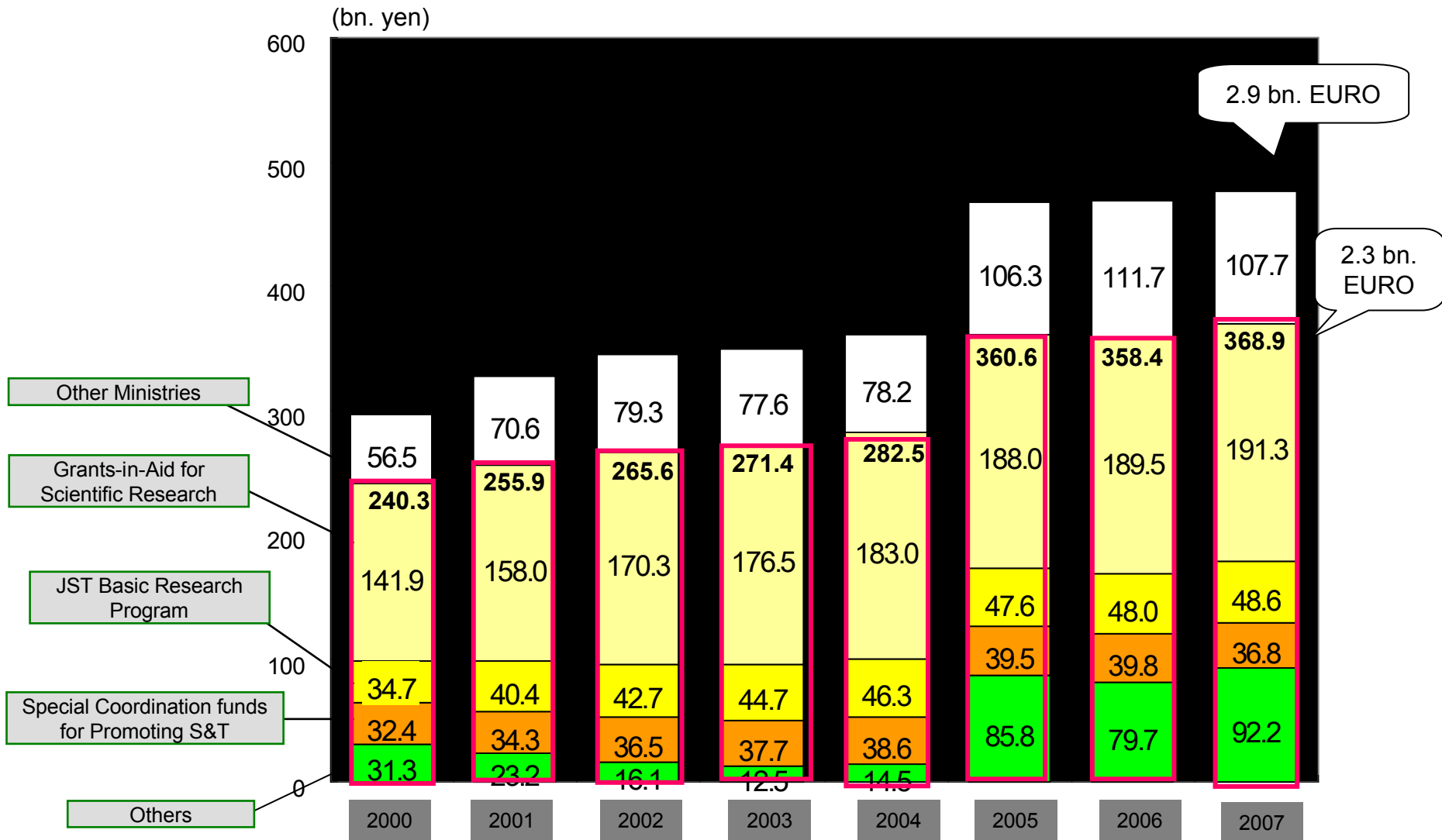
< Reforming the S&T System >

1. Developing, securing and activating human resources
(young researchers, female researchers, foreign researchers)
Enhancing the human resource development functions in universities
2. Creating scientific development and persistent innovation
3. Reinforcing the foundation for promoting S&T

< Strategically promoting International Activities (Cooperating with Asian Nations) >

< S&T to be support from the society and the public >

Time-trend of Competitive Research Funds

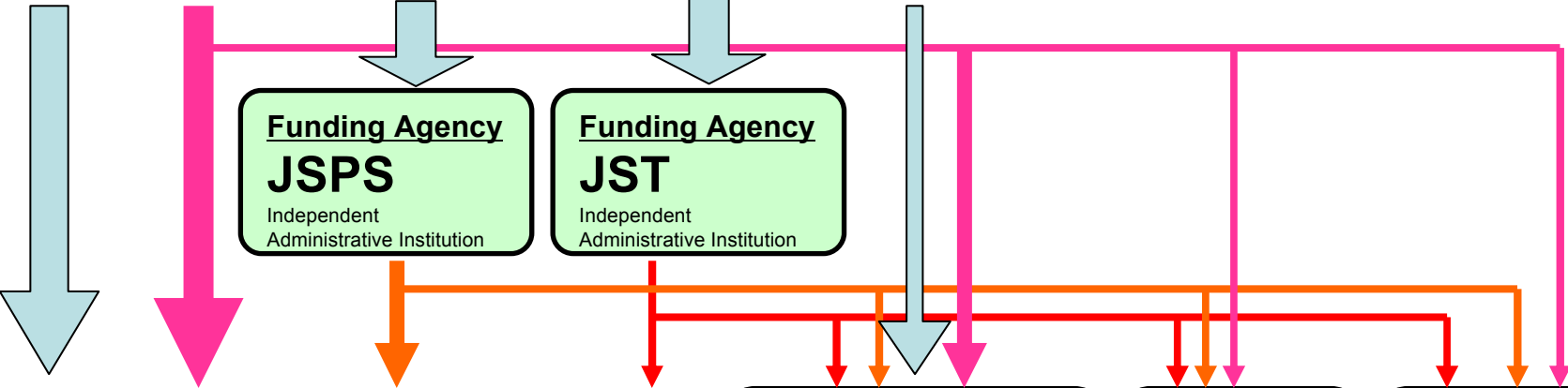
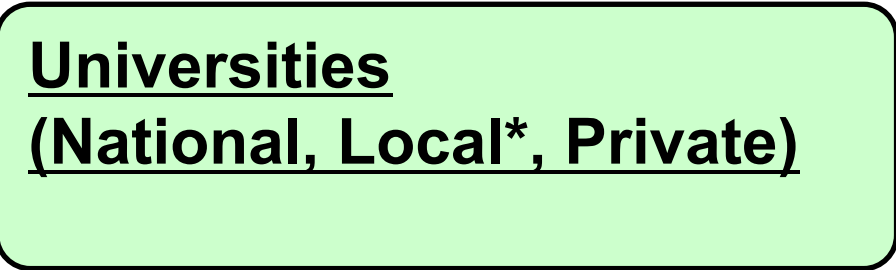
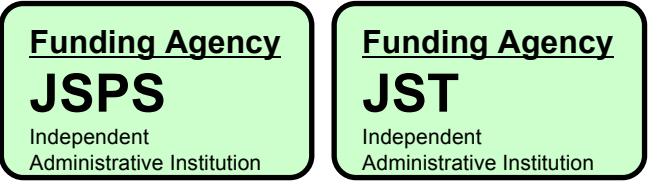
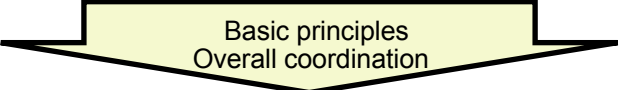
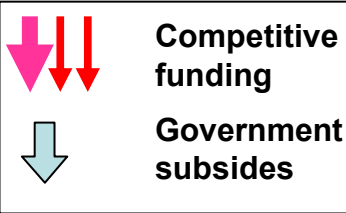


1 EURO = 160yen

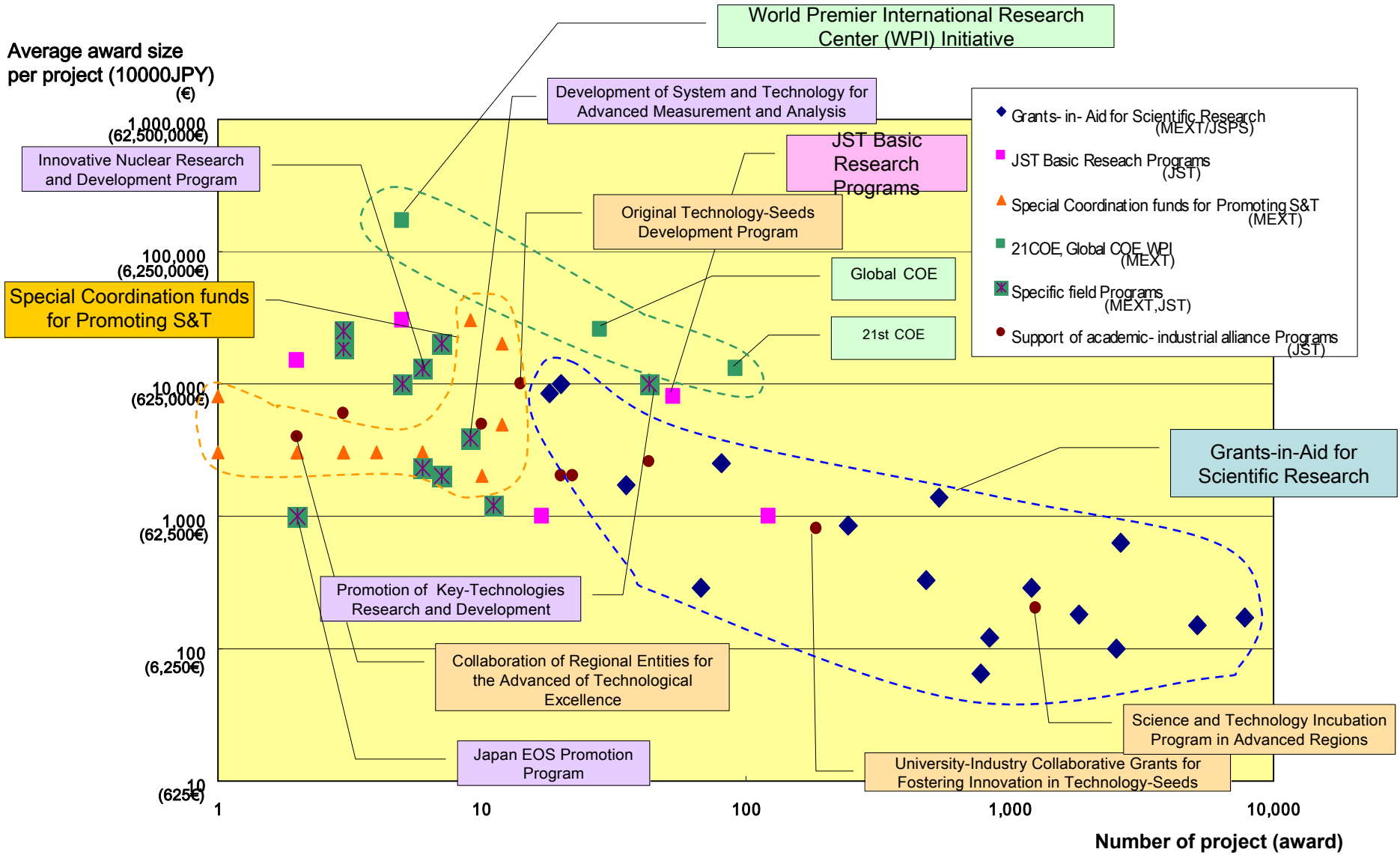
MEXT Total

77% of total governmental
Competitive Research Funds

Research Funding System in Japan



Distribution Map of programs of MEXT Competitive Research Funds (FY2007)



1 E U R O = 160yen

Case of Misuse

Refund Order for misused expense
(2004FY – 2006FY)

- 30 cases

- 0.53 bn. JPY (3.3M EURO)

* > 50,000 active projects / year

* 997 bn. JPY (6.2 bn. EURO)

(MEXT's total expenditure for Competitive funds
(2004FY – 2006FY))

Cause of Misuse

(Report “Committee for the countermeasures against misuse of research funding)

(Dec.26th, 2006)

- Researchers (moral issue)

penalties

- Lack of organizational management system within research institutes

guidelines

- Inflexibility of funding system

funding system reform

Law of “moth” and “mold”

Misuse in U.S. ---- “moth” type

- motivation “*personal interest*”
- sporadic

*countermeasures ---- penalties for individuals “*insecticide*”



Misuse in Japan ---- “mold” type

- motivation “*organizational interest*”
- lasting along with the “position”

*countermeasures ---- eliminate underlain factors

“*dehumidifying and cleansing*”



Original source ; Prof. Gohara Nobuo

Toin Yokohama University, Compliance Research Center

Presentation (in Japanese) at MEXT’s Committee for Research Funding

Misuse, Oct. 4th, 2006

Countermeasures against misuse of research fund

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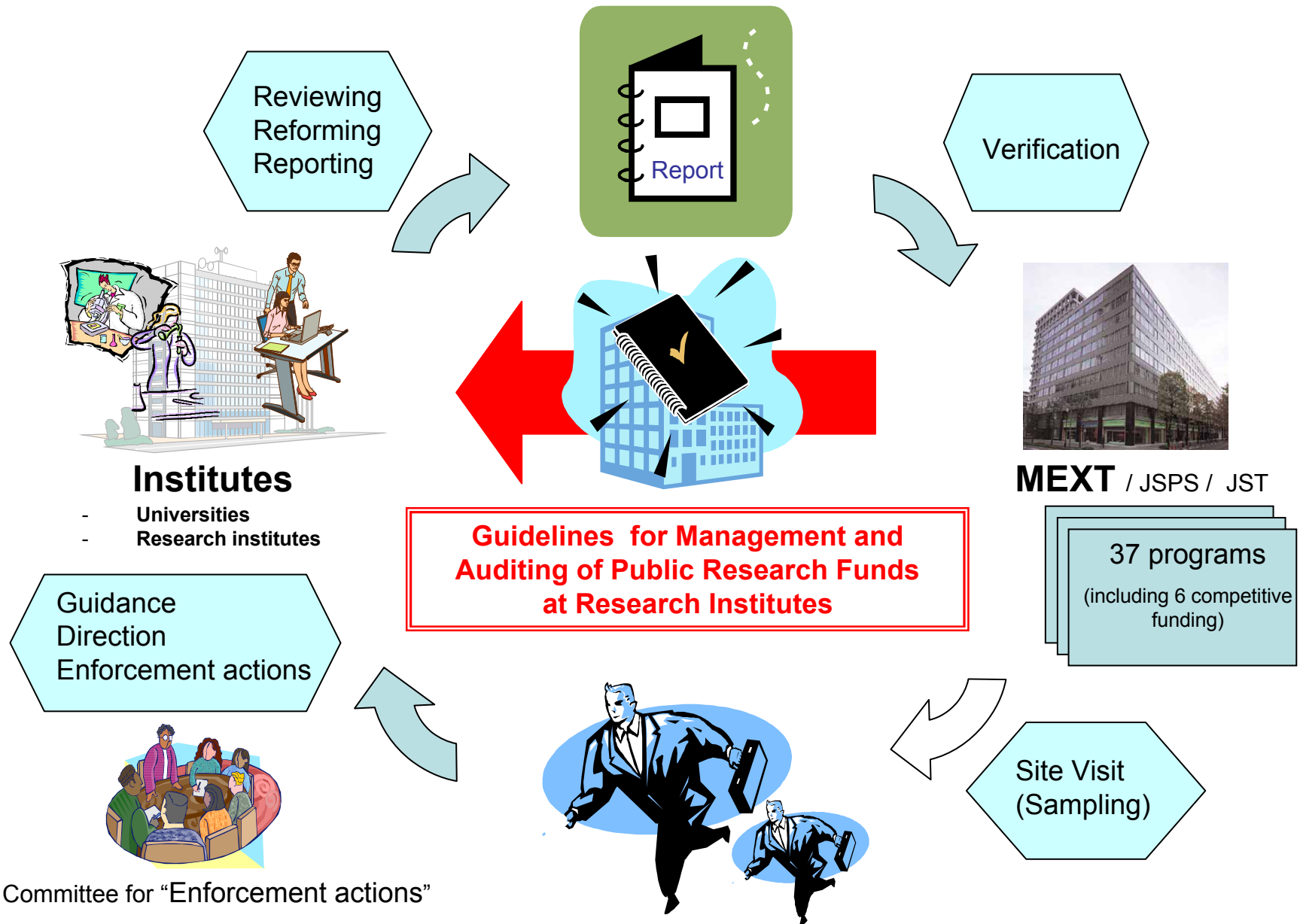
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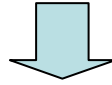
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The case of misuse by a famous Japanese researcher in 2006

Audit Cycle based on Guideline



Guidelines for Management and Auditing of Public Research Fund at Research Institutes (Feb. 15th, 2007)

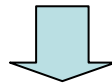


First Report of Management and Auditing (Nov.15th, 2007)

From

1632 institutes (as of Dec. 3rd)

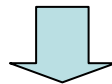
(86 National Univ., 77 Local Univ., 559 Private Univ., 77 Research Institute et al.)



**Analysis
(base on reports)**

**Site Visit
(Sampling)
100 institutes / year**

*“When President says “No problems”, when we ask “What kind of risks do you have?”, we will check you **carefully.**”*

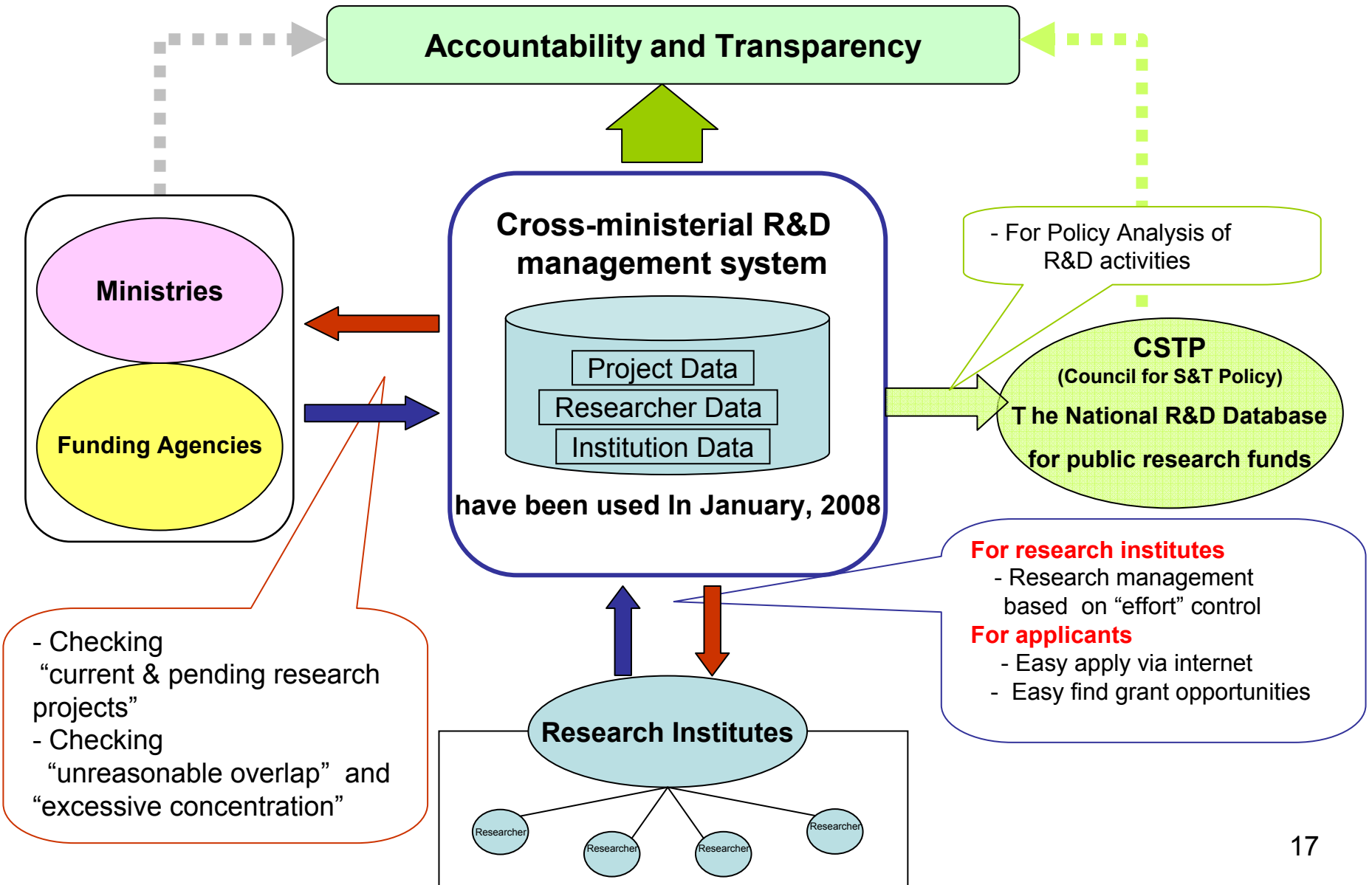


MEXT First Analysis Report

will be issued in spring, 2008

Comments, Recommendations, Case studies (good or bad cases)

Cross-ministerial R&D management system (e-Rad)



Just taking off..

1. An ID Number for every researcher

> **453,309 person** (February , 2008)

2. Access

- **researchers:** can check own award data

- **Institutes:** can check their researchers' data

- **Funding Agencies:** can check offered proposals and other current
& pending research project for checking “overlaps” and “concentration”

- **Reviewers:** can check proposals in their assignment, and other current
& pending research project for checking “overlaps” and “concentration”

3. **17 programs** has been open called thought “e-Rad”
since January, 2008

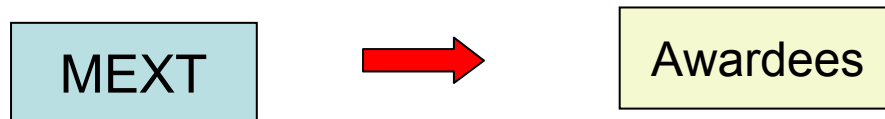
Research Funding System in Japan

< 3 major channels > (15 programs, 2007Y)

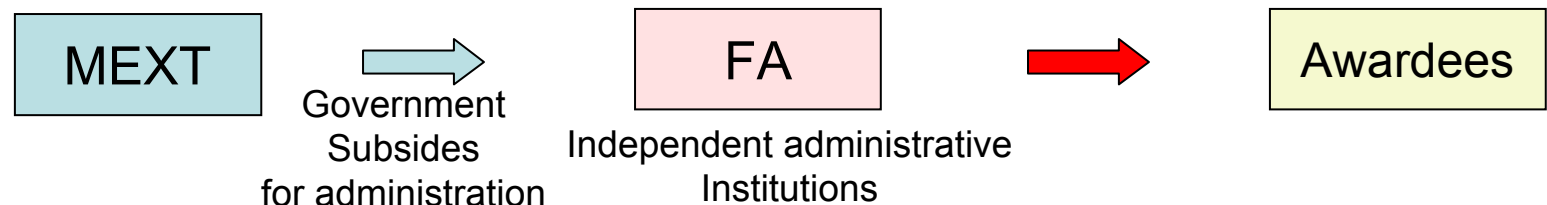
1. Grant type (4 programs, 63%)



2. Commission type (4 programs, 16%)



3. Commission type (Funding Agency) (7 programs, 21%)



Research Funding System Reform

1. Single Accounting year Principle

- Exceptional permission system for carry-over
- More flexible system

2. Flexibility

- Earlier transfer of money in advance

3. Comprehensiveness

- Simplification / unification of complex rules of the jungle of research programs

Experiences in Overseas

1. FDP (Federal demonstration partnership)

in U.S.



2. Simplification in the 7th Framework Program

in EU



Thank you!
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The most efficient system in Japan
= No administrative cost