

Evaluation of FY2016 Operating Results for
National Research Institute for
Earth Science and Disaster Resilience

August 2017

Minister of Education, Culture, Sports, Science and Technology

1. Items related to the evaluation		
Agency	National Research Institute for Earth Science and Disaster Resilience	
FY for evaluation	FY evaluation	FY2016 (4th term)
	Mid to long-term objective period	FY2016- FY2022

2. Items related to the assessor			
The Competent Minister	Minister of Education, Culture, Sports, Science and Technology		
Incorporated jurisdiction dept.	Research and Development Bureau	Dept. and person in charge	Earthquake and Disaster-Reduction Research Division, Ei Takeuchi
Evaluation and inspection dept.	Science and Technology Policy Bureau	Dept. and person in charge	Planning and Evaluation Division, Kenji Matsuoka

3. Items regarding implementation of evaluation
<p>On June 26, 2017, we held a meeting of the (12th) National Research Institute for Earth Science and Disaster Resilience (NIED) Sub-Committee of the National Research and Development Agency Council under MEXT (hereinafter called "Sub-Committee") to hear, for the first time, opinions and explanations from Presidents about the results of the agency's self-evaluation, and received recommendations from the committee members in line with scientific knowledge with regard to implementation of the outcome of the evaluation as conducted by the competent minister.</p> <p>In the (13th) Sub-Committee meeting on July 7, 2017, we had the 2nd hearing on opinions and explanations as to the results of the agency's self-evaluation, and received advice from the committee members in line with scientific knowledge regarding implementation of the evaluation as conducted by the competent minister.</p> <p>At the (14th) Sub-Committee meeting on July 20, 2017, we received some advice in line with scientific knowledge from the committee before implementing the results of the evaluation by the competent minister.</p> <p>At the (10th) National Research and Development Agency Council under MEXT on August 3, 2017, we received some advice in line with scientific knowledge from the committee before implementing the evaluation by the competent minister.</p>

4. Important items and others items relating to the evaluation
2016 is the first year of the 4th mid to long-term objectives/plan period.

1. Overall evaluation								
Rating*1 (S, A, B, C, D)	B	(Reference) Overall rating situation for the past FY years compared with the same period during this FY						
		FY2016	FY2017	FY2018	FY2019	FY2020	FY2021	FY2022
		B	-	-	-	-	-	-
Reasons for rating	As shown in the overall evaluation of the agency as a whole, it is recognized that more progress of performance than expected is steadily implemented in the mid to long-term plan and the FY plan.							

2. Evaluation of the whole agency	
<p>○Just before the new period of the mid to long-term plan, the review of the organization <u>made it easier to establish coordination among departments and promote flexible research activities</u>, and establishment a new expanded executive meeting, which <u>helped us share internal information and enhance communication</u>. This is highly evaluated.</p> <p>○The following activities were highly evaluated: the creation of the innovation hubs, and formation of infrastructures to enable the industry, academia, and government to work on research and development projects integrally, establish centers, <u>faster the environment for R&D, and implement social commercialization in an integrated manner, and pay attention to user's diversified needs, and work on R&D and show who benefits from the achievements</u>.</p> <p>○<u>In relation to Kumamoto Earthquake</u> in April 2016, <u>about 800 persons in total went to Kumamoto</u> including researchers and administrative staffs, and centrally collected and transmitted information, including the other institutes', which <u>played a very important role in sharing the situation awareness</u>, and cooperated with external institutes, and <u>contributed to the livelihood recovery of the victims</u>, such as issuing quake-damage certificates, and preventing secondary disasters from sediment from happening after the earthquake and <u>supporting restoration and recovery activities to fulfill requests from Kumamoto Prefecture</u>. These are highly evaluated.</p> <p>○The launch of the Crisis Response Site for 5 types of 12 disasters, including Kumamoto Earthquake and offered <u>proactive dissemination of information, which provided a great social impact</u>, and so were highly evaluated.</p> <p>○The following can also be highly evaluated: after completion of S-net, <u>the unified management system of fundamental seismic networks on land and below the sea was improved and stable operation began</u> and the <u>social improvement through research achievements was made possible</u>, and consequently, Japan Meteorological Agency started to use data from S-net and DONET 2 (Dense Oceanfloor Network system for Earthquakes and Tsunamis 2) in July 2016 for tsunami monitoring purposes.</p>	

3. Issues to be solved and /or improved for each subject	
<p>○In opening the Crisis Response Site, the Agency should proactively publish press release on dispatching personnel to local emergency response centers to make the necessary information available to the public more widely (See page 12).</p> <p>○We expect future efforts to be more effective, because the human resources development program necessary for implementing social commercialization is not good enough (See pages 23 and 24).</p> <p>○It is desirable that along with dispatching researchers as lecturers as is conventionally done, other personnel who can support businesses at the time of responding to disaster should also be dispatched. Besides, activities undertaken at the request of local governments should be evaluated as human resources development activities (See pages 23 and 24).</p>	

4. Other items	
Main opinions of the council on research and development	No special matters to note
Auditor's special comments	No special matters to note

*1 S: Based on the National Research and Development Agency's aims, businesses with mid to long-term objectives due to comprehensive consideration based on some circumstances regarding the agency's business achievements, and efforts through its activities, especially the creation of considerable achievements, anticipated creation of special achievements in the future and so on toward "maximization of R&D achievements" under the conditions of appropriate, effective and efficient operations are recognized.

- A: Based on the National Research and Development Agency's aims, businesses with mid to long-term objectives due to comprehensive consideration based on some circumstances regarding the agency's business achievements, and efforts through its activities, especially the creation of considerable achievements, anticipated creation of special achievements in the future and so on toward "maximization of R&D achievements" under the conditions of appropriate, effective and efficient operations are recognized.
- B: Based on the National Research and Development Agency's aims, business with mid to long-term objectives due to comprehensive consideration based on some circumstances regarding the agency's business achievement, and efforts through its activities, a certain degree of expectation for the creation of achievement and creation of achievement in the future toward "maximization of R&D achievements" were recognized, and steady business operations have been also recognized.
- C: Based on the National Research and Development Agency's aims, businesses with mid to long-term objectives due to comprehensive consideration based on some circumstances regarding the agency's business achievements, and efforts through its activities, the creation of achievements, further drastic efforts and improvements toward "maximization of R&D achievements" or "appropriate, effective and efficient operations" are anticipated.
- D: Based on the National Research and Development Agency's aims, businesses with mid to long-term objectives due to comprehensive consideration based on some circumstances regarding the agency's business achievements, and efforts through its activities, special efforts and improvements including a fundamental drastic review, toward "maximization of R&D achievements" or "appropriate, effective and efficient operations" are required.

Mid to long-term objectives (Mid to long-term plan)	FY Ratings							No. of document each item	Remarks
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021	FY 2022		
I. Maximization of R&D achievements and quality improvement of the other operations									
1. Formation of a core organization for innovation in research on disaster resilience technologies	/								
Promotion of collaboration among industry, academia and government as a core institution	B							I-1-1	
Promotion of utilization and sharing of fundamental observation network and cutting-edge research facilities	A							I-1-2	
Spread of R&D achievements and promotion of utilization of intellectual property	B							I-1-3	
The international expansion of research and development for disaster resilience	B							I-1-4	
Nurturing human resources	B							I-1-5	
Contribution to disaster resilience policy	S							I-1-6	
2. Promotion of basic research and fundamental research and development concerning disaster resilience science and technology	/								
Promotion of research and development for observing and predicting disasters in real time	B							I-2-1	
Promotion of research and development aimed at improving the resiliency of social infrastructure	B							I-2-2	
Promotion of fundamental research and development for disaster risk mitigation and reduction	B							I-2-3	

Mid to long-term objectives (Mid to long-term plan)	FY Ratings							No. of document each item	Remarks
	FY 2016	FY 2017	FY 2018	FY 2019	FY 2020	FY 2021	FY 2022		
II. Items concerning the efficiency of the administration of the operations									
1. Establishment of flexible and efficient management system	/								
Review of research organization and business	B							II-1-1	
Internal control	B							II-1-2	
Implementation of evaluation concerning research and development, etc.	B							II-1-3	
2. Efficient operations	/								
Streamlining and efficiency of operational expenses	B							II-2-1	
Streamlining and efficiency of personnel expenses	B							II-2-2	
Review and check of the current contracts' status	B							II-2-3	
Promotion of computerization	B							II-2-4	
III. Items regarding improvements in financial related matters	B							III	
1. Budget (Including personnel expenses)/ income and expenditure plan, and funding plan									

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2. Limit amount of short-term borrowing																				
3. If the agency has any unnecessary property or any property that is expected to be unnecessary, a plan for disposal of such a property plans for transferring important properties																				
4. If the agency intends to transfer or provide as collateral any important property other than the property provided for in the preceding item, a plan therefor; Plans for transferring other important properties and security																				
5. Purpose of using accumulated profit																				
IV. Important items related to the administration of operations and others	B																		IV	
1. Ensuring and enhancing people's reliability																				
2. Matters concerning personnel																				
3. Facilities and equipment related issues																				
4. Debt burden for the period exceeding mid to long-term objectives																				
5. Use of a reserve fund																				

* For items that are set to “high” level of importance, a “circle” shall be marked next to each comment.
 For items that are set to “high” level of difficulty, each comment shall be underlined.

* The evaluation is based on “Standards concerning the evaluation of independent administrative agencies under the jurisdiction of the Ministry of Education, Culture, Sports, Science and Technology” (as determined by the Minister of Education, Culture, Sports, Science and Technology on June 30, 2015). The details are as follows.

[Administrative and projects related to research and development (I)]

S: Based on the National Research and Development Agency’s aims, businesses, mid to long-term objectives and so on, and as a result of comprehensive consideration based on some circumstances regarding the agency’s business achievements, efforts and so on through its activities, especially the creation of considerable achievements, anticipated creation of special achievements in the future and so on toward “maximization of R&D achievements” under the conditions of appropriate, effective, and efficient operations are recognized.

A: Based on the National Research and Development Agency’s aims, businesses, mid to long-term objectives and so on, and as a result of comprehensive consideration based on some circumstances regarding the agency’s business achievements, efforts and so on through its activities, the creation of considerable achievements, anticipated creation of achievements in the future and so on toward “maximization of R&D achievements” under the conditions of appropriate, effective, and efficient operations are recognized.

B: Based on the National Research and Development Agency’s aims, businesses, mid to long-term objectives and so on, and as a result of comprehensive consideration based on some circumstances regarding the agency’s business achievement, efforts and so on through its activities, a certain degree of expectation for the creation of achievement and creation of achievement in the future toward “maximization of R&D achievements” were recognized, and steady business operations have been also recognized.

C: Based on the National Research and Development Agency’s aims, businesses, mid to long-term objectives and so on, and as a result of comprehensive consideration based on some circumstances regarding the agency’s business achievements, efforts and so on through its activities, the creation of achievements, further drastic efforts and improvements toward “maximization of R&D achievements” or the “appropriate, effective, and efficient operations” are anticipated.

D: Based on the National Research and Development Agency's aims, businesses, mid to long-term objectives and so on, and as a result of comprehensive consideration based on some circumstances regarding the agency's business achievements, efforts through its activities, special efforts and improvements including a fundamental drastic review, toward "maximization of R&D achievements" or the "appropriate, effective, and efficient operations" are required.

【Other than administrative work and projects regarding research and development (After II)】

S: Through the activities of a corporation, remarkable performance exceeding the intended objectives is recognized quantitatively and qualitatively in the medium-term plan (in terms of quantitative indicators, 120% or more vis-à-vis planned medium-term value (or planned FY value), and remarkable performance is also recognized qualitatively)

A: Through the activities of a corporation, remarkable performance exceeding the intended objectives is recognized in the medium-term plan (in terms of quantitative indicators, 120% or more vis-à-vis planned medium-term value (or planned FY value).

B: Performance exceeding the intended objectives is recognized in the medium-term plan (in terms of quantitative indicators, 100% or more but less than 120% vis-à-vis planned medium-term value (or planned FY value).

C: Performance falls below the intended objectives in the medium-term plan, requiring improved performance (in terms of quantitative indicators, 80% or more but less than 100% vis-à-vis planned medium-term value (or planned FY value).

D: Performance falls below the intended objectives in the medium-term plan, requiring drastic improvement of business including its abolition (in terms of quantitative indicators, less than 80% vis-à-vis planned medium-term values (or planned FY value), or it is recognized that the competent Minister is required to ask for improving business operations or taking other necessary measures).