

DIJ Tokyo & Sophia University
“Transnational Research in a Multipolar World”
@ Sophia University, 8th of May, 2023

“Transnational Research in a Multipolar World”

KOBAYASHI Osamu

Director, Department of International Affairs
Japan Science and Technology Agency (JST)

8th of May, 2023

The opinions and views expressed here are solely my own and do not necessarily represent those of JST

“Transnational Research in a Multipolar World”

1. Research Cooperation in “Polarized World”
2. Responsible Internationalization
3. Research Cooperation between Global North and South

“Polarized World”





US charges three researchers with lying about links to China

© 28 January 2020



Harvard University described the charges as “extremely serious”

The US has charged a Harvard professor and two Chinese researchers based in Boston with assisting the Chinese government.

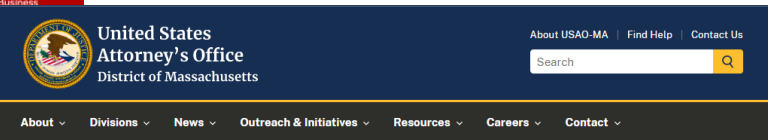
Harvard department chair Charles Lieber is accused of lying about his connections, while the researchers were charged with being foreign agents.

Mr Lieber allegedly accepted more than \$1m in grant money from the Chinese government.

Harvard University called the charges against him “extremely serious”

<https://www.bbc.com/news/world-us-canada-51288854>

<https://www.justice.gov/usao-ma/pr/former-harvard-university-professor-sentenced-lying-about-his-affiliation-wuhan>



Justice.gov > U.S. Attorneys > District of Massachusetts > Press Releases > Former Harvard University Professor Sentenced for Lying About His Affiliation with Wuhan University of Technology; China's Thousand Talents Program; and Filing False Tax Returns

PRESS RELEASE

Former Harvard University Professor Sentenced for Lying About His Affiliation with Wuhan University of Technology; China's Thousand Talents Program; and Filing False Tax Returns

Wednesday, April 26, 2023

For Immediate Release
U.S. Attorney's Office, District of Massachusetts

BOSTON – The former Chair of Harvard University's Chemistry and Chemical Biology Department was sentenced today in federal court in Boston for lying to federal authorities about his affiliation with People's Republic of China's Thousand Talents Program and the Wuhan University of Technology (WUT) in Wuhan, China, as well as failing to report income he received from WUT.

WANTED BY THE FBI

YANQING YE

Acting as an Agent of a Foreign Government; Visa Fraud; Making False Statements; Conspiracy

DESCRIPTION	
Date(s) of Birth Used: July 22, 1990	Place of Birth: Longhai, Fujian, China
Hair: Dark Brown	Eyes: Brown
Height: Approximately 5'4"	Weight: Approximately 110 pounds
Sex: Female	Race: Asian
Nationality: Chinese	Languages: English, Chinese

Ye is believed to be in China.

REMARKS

CAUTION

Yanqing Ye is a Lieutenant in the People's Liberation Army (PLA), the armed forces of the People's Republic of China, and a member of the Chinese Communist Party (CCP). Ye studied at the National University of Defense Technology (NUDT), a top military academy directed by the CCP in China. It is alleged that on her J-1 visa application, Ye falsely identified herself as a student and lied about her ongoing military service at the NUDT. During Ye's time in the United States on her J-1 visa, she maintained close contact with her supervisor at the NUDT and other colleagues. While studying at Boston University's Department of Physics, Chemistry and Biological Engineering from October of 2017 to April of 2019, Ye allegedly continued to work as a PLA Lieutenant completing numerous assignments from PLA officers such as conducting research, assessing United States military websites, and sending United States documents and information to China.

On January 26, 2023, a federal arrest warrant was issued for Ye in the United States District Court for the District of Massachusetts, Boston, Massachusetts, after she was charged with acting as an agent of a foreign government, visa fraud, making false statements, and conspiracy.

If you have any information concerning this person, please contact your local FBI office or the nearest American Embassy or Consulate.

Field Office: Boston

<https://www.fbi.gov/wanted/counterintelligence/yanqing-ye>

RESEARCH SECURITY

Canada bars funding for 'risky' foreign alliances

China is seen as main target in expanded reviews of projects with certain foreign entities

By Jeffrey Mervis

Canada's three major national research agencies will no longer fund proposals from scientists doing "sensitive" research that involves foreign collaborators deemed to pose a security risk to the country. Although the new policy, announced on 14 February, doesn't mention China, it parallels actions taken in recent years by the United States, Australia, and other countries to prevent their research investments from benefiting China's military and intelligence agencies.

They ask grant applicants to judge whether their research "would be of interest to a foreign government ... or have military applications" as well as whether their potential partners "are affiliated with" entities that pose a threat to Canada. Universities are supposed to address those concerns before submitting the grant application.

Those guidelines were first applied to a small program that funds collaborative projects, called Alliance Grants, run by the Natural Sciences and Engineering Research Council of Canada (NSERC). Last month, investigators] about their proposals was: "Don't work with researchers and companies from China," he says. "And the attitude from intelligence agencies is one of condemnation: "You guys don't know what dangers are lurking and you need to trust us."

Last year, the government gave out \$25 million to Canada's major research universities to hire research security officers who will work with faculty on meeting the new guidelines. The goal, Gaffield says, is to find ways to mitigate potential security risks so many of the collaborations can be forwarded. The new rules don't

<https://www.science.org/doi/epdf/10.1126/science.adh2764>

Downloaded from



ASML Says Ex-Employee in China Stole Chip Data

The theft of technical data occurred in the last couple months.
Tensions between US and China are high amid espionage claims.

[Bloomberg News](#) | Feb 15, 2023

Alliance of Science Organisations in Germany	Alexander von Humboldt Foundation German Research Foundation Fraunhofer Society German Rectors' Conference Leibniz Association	National Academy of Sciences Leopoldina German Academic Exchange Service (DAAD) Helmholtz Association Max Planck Society German Science and Humanities Council
-----------------------------------------------------	--------------------------------------------------------------------------------------------------------------------------------------------	----------------------------------------------------------------------------------------------------------------------------------------------------------------------------

Statement

25 February 2022

Alliance of Science Organisations in Germany: solidarity with partners in Ukraine – consequences for science and the humanities

The Alliance of German Science Organisations strongly supports the Federal Government's consistent action against Russia's belligerent attack on Ukraine, which is in violation of international law.

The Alliance regards the Russian invasion as an attack on the fundamental values of freedom, democracy and self-determination, which in turn provide the basis for academic freedom and opportunities for academic cooperation.

The organisations of the Alliance have long maintained diverse and productive academic collaborations with their partners in Ukraine. They have our full solidarity at this moment!

In this spirit, we are determined to continue to pursue our contacts and close cooperation with our Ukrainian partners at all levels, in student exchanges as well as in the promotion of bilateral research projects and the development and use of academic infrastructures. Students and academics who have to leave their country as a result of Russian aggression will be offered support under wide-ranging assistance programmes.

European Commission - Statement



STATEMENT ON RESEARCH BY COMMISSIONER MARIYA GABRIEL

Brussels, 3 March 2022

The Russian military aggression against Ukraine is an act of war and constitutes a violation of international law, undermining European and global security and stability.

It is an attack on elementary values of freedom, democracy and self-determination, on which cultural expression, academic and scientific freedom and scientific cooperation are based.

We, the European Union, stand by Ukraine and its people.

In solidarity with our Ukrainian partners, we, the European Commission, are determined on the following measures.

First, we have decided not to engage into further cooperation projects with Russian entities. I have therefore decided to suspend the preparations of grant agreement for four projects under Horizon Europe programme that involve five Russian research organisations. Signing of any new contracts will be put on hold until further notice.

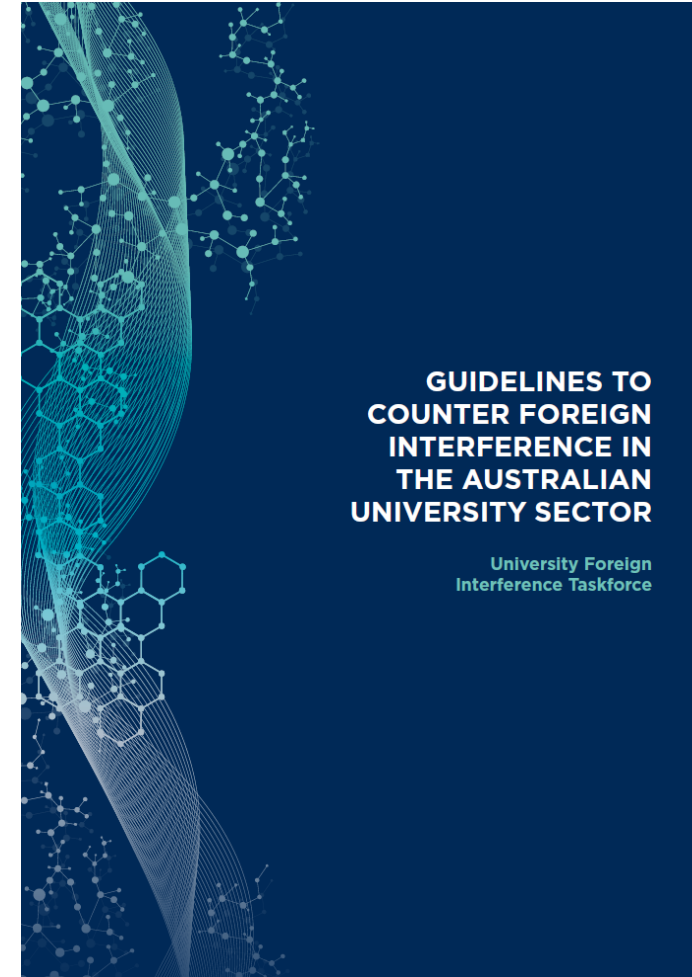
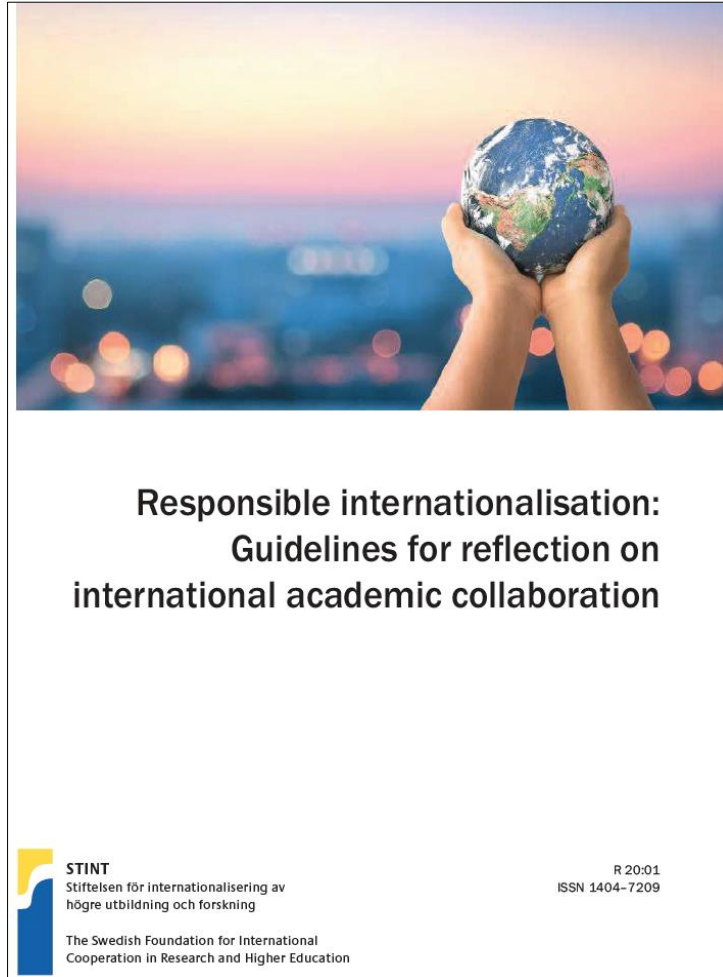
Second, I have asked my services to suspend any payment to Russian entities under existing contracts.

Third, Ukrainian scientists and researchers are key participants in our EU Framework programmes for R&I and have demonstrated excellence and innovation leadership across many fields.

https://www.dfg.de/download/pdf/dfg_im_profil/allianz/220225_statement_allianz_ukraine_en.pdf

https://ec.europa.eu/commission/presscorner/detail/en/STATEMENT_22_1528

https://www.stint.se/wp-content/uploads/2020/02/STINT__Responsible_Internationalisation.pdf



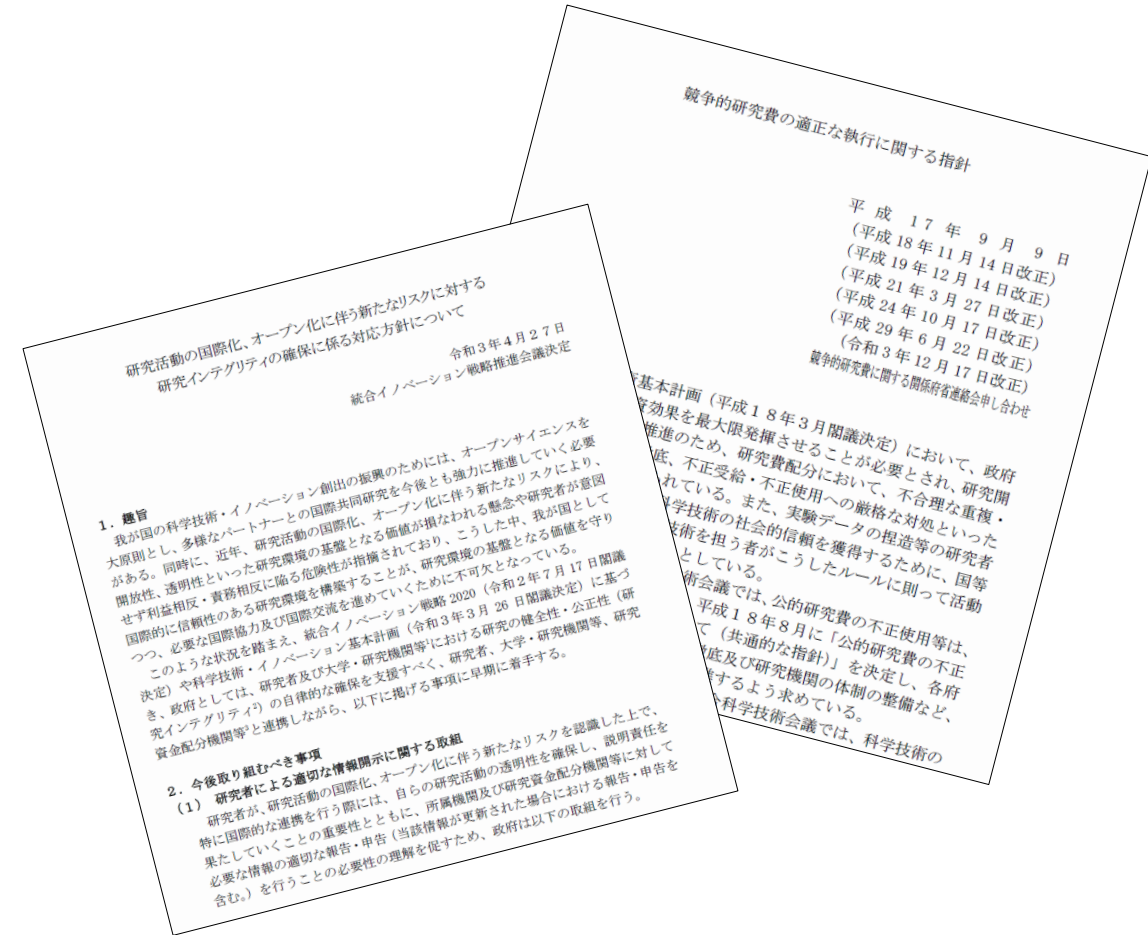
<https://www.education.gov.au/guidelines-counter-foreign-interference-australian-university-sector/resources/guidelines-counter-foreign-interference-australian-university-sector>

Revision of "Guidelines for Proper Management of Competitive Research Fundings" by the Government of Japan (December 17, 2021)

When applying for public research funding, researchers are required to provide information about all current research funding.

- Including domestic and international grants, joint research funding, and commissioned research funding.
- their current affiliations and positions, including participation in foreign talent recruitment programs and honorary professorships without employment contracts.

In addition to the above research funding and affiliations, researchers are required to make a pledge that they have reported all necessary information to their affiliated institutions regarding all research activities they are involved in, including support from donations or facilities other than funding, to ensure transparency.



https://www8.cao.go.jp/cstp/compefund/shishin_r3_1217.pdf

https://www8.cao.go.jp/cstp/kokusaiteki/integrity/integrity_housin.pdf

Continually renewed awareness of and adherence to security protocols.

We request our funded research organizations:

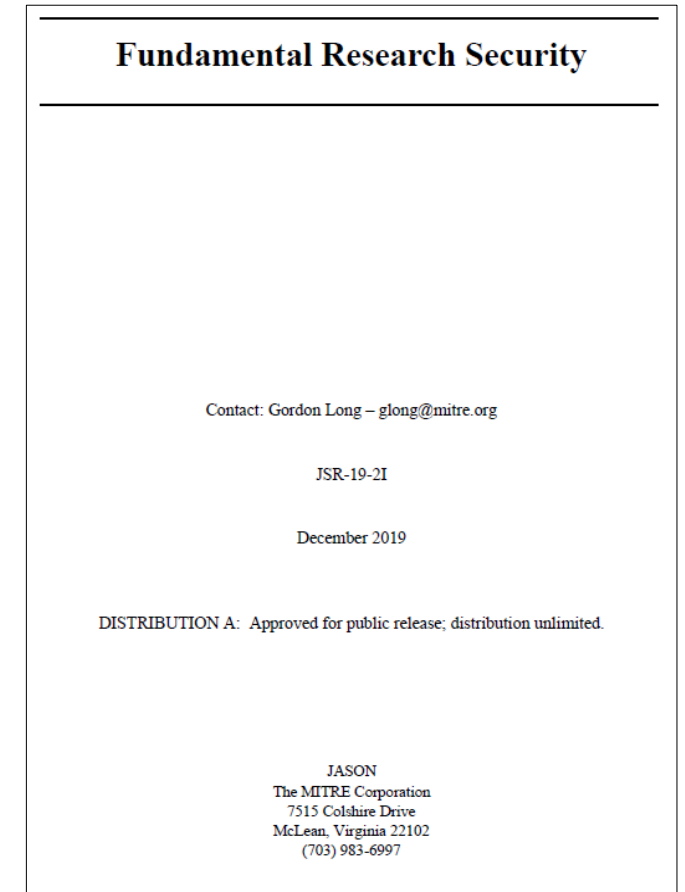
- enforce systematic management of sensitive technologies for tech-transfer & practical implementation according to the guidance from authorities, such as Ministerial Ordinance on Export Control.
- confirm no connection with organizations on the designated 'blacklist'.

Jason Report on “Fundamental Research Security”

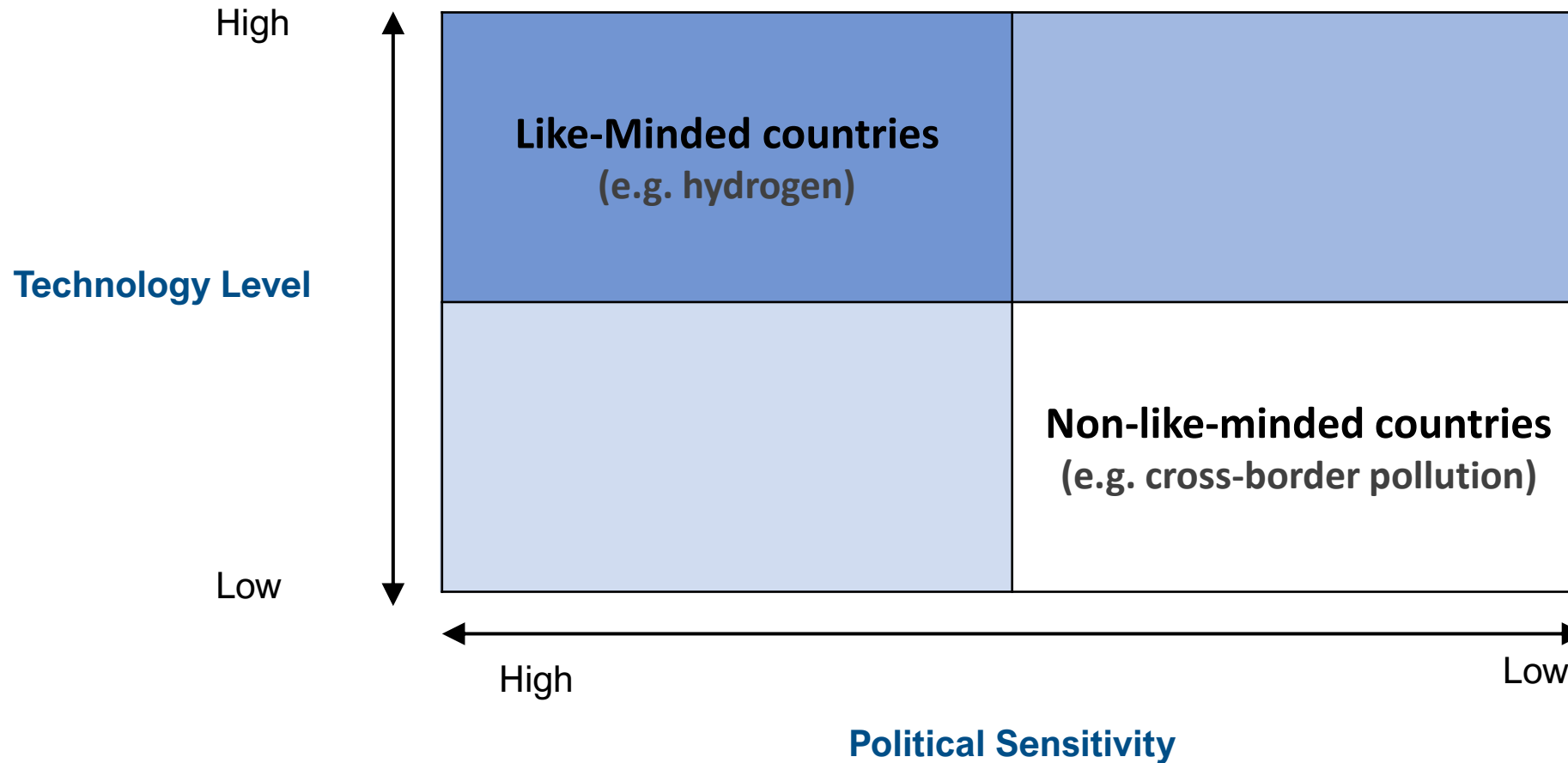
To address the situation where foreign regimes seek to benefit from the global research ecosystem without supporting values such as **openness**, **transparency**, and **reciprocal collaboration**.

Four main points of the report:

1. The value and **necessity of foreign scientific talent** in the United States
2. The significant **negative impact of imposing new restrictions** on access to fundamental research
3. The need to expand the concept of research integrity to include disclosure of potential conflicts of interest and conflicts of commitment
4. The necessity for a shared understanding between academia and government agencies on how to maintain openness, compete successfully in the global acquisition of STEM talent, and maximize protection of US interests in fundamental research.



Map to categorize partner countries and research fields to cooperate with



Principles for Development Research

1. Building **ethical** and **equitable** research partnerships

Building ethical and equitable research partnerships that respect the rights and dignity of all participants, including those from the South.

2. **Reciprocal** benefits pursuit

To ensure that research benefits all stakeholders, including local communities and researchers, taking into consideration **capacity building** and **knowledge sharing**.

3. **Transparency** and **accountability**, and clear **guidelines and frameworks** to ensure them

Recognizing the importance of transparency and accountability, researchers must abide by the law and make research findings and data publicly available. Promoting the establishment of clear guidelines and frameworks for research implementation and ensuring that all stakeholders involved in research use these guidelines.

4. **Inclusion** and **communication**

Improving communication and cooperation among all stakeholders, including local communities, researchers, funders, and policy makers.

“A Guide for Transboundary Research Partnerships - 11 principles & 7 questions”

https://kfpe.scnat.ch/en/11_principles_7_questions

“Global Code of Conduct for Research in Resource-Poor Settings”

<https://www.globalcodeofconduct.org/>

“Four Approaches to Supporting Equitable Research Partnerships”

<https://www.ukcdr.org.uk/resource/ukcdr-and-essence-2022-four-approaches-to-supporting-equitable-research-partnerships/>





Research Cooperation for Sustainable Development in JST



1.  SATREPS (**S**cience and **T**echnology **R**esearch **P**artnership for **S**ustainable Development)

SATREPS aims to resolve global common challenges through STI cooperation with developing economies supported by ODA. The program generates new technology, knowledge, and innovations for social implementation and fosters self-reliant R&D capacity and sustainable research ecosystems.

2.  e-ASIA Joint Research Program

e-ASIA JRP aims to develop STI community to promote STI to resolve regional common challenges through multilateral research cooperation including capacity building on an equal partnership basis among regional funders.

3.  AJ-CORE (**A**frica-**J**apan **C**ollaborative **R**esearch)

AJ-CORE aims to bring multiple stakeholders together to co-develop new knowledge and values needed for decision-making and societal change and facilitate STI cooperation among researchers from Japan, South Africa, and SGCI member countries on an equal partnership basis.

4.  UK Research and Innovation STAND (Pilot Phase) (**S**cience, **T**echnology and **A**ction' **N**exus for **D**evelopment)

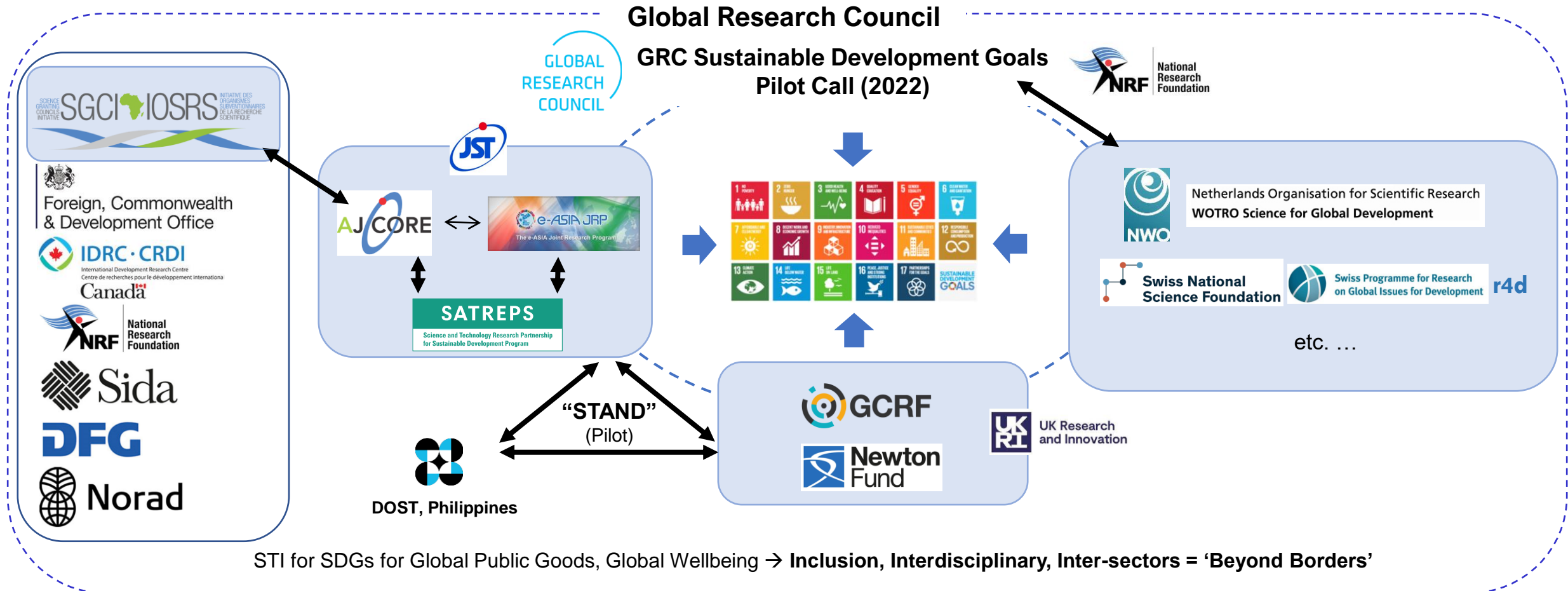
STAND is a pilot program that aims to foster multinational research cooperation among partner funders from the North and South by integrating similar but separate individual research activities for effective and efficient outcomes that faster addresses SDGs.

'Decade of Global Sustainability Science Action'

<https://council.science/actionplan/funding-science-decade-science-action/>

"Global problems require a global response and **concerted action is necessary from research funders**, as it is from others in the international community. The power of our response will ultimately lie in our **willingness to work together.**"

[Global Forum of Funders] July 2019 @Washington DC)



Thank you for your attention!