

Authority:

- Approved by the President
- School Education Act

## **Chapter 3. Faculty Handbook**

### **3.1 Policy**

The OIST Graduate University Faculty Handbook describes policies governing the faculty, including teaching, research, appointments, promotion, and governance. The Dean for Faculty Affairs is responsible for implementation of University policy regarding appointments and promotions, salary setting, sabbaticals, grievances, and other general matters concerning the faculty. The Dean for Faculty Affairs ensures compliance with policies set by the Board of Governors and Faculty Council, maintains the Faculty Handbook and faculty records, works with OIST Graduate University (the “University”) officers and committees to develop new policy, and responds to external reporting requests.

### **3.2 Faculty Assignment**

#### **3.2.1 Composition of Faculty**

Consistent with the principles outlined in the section on the “Purpose and Necessity of Establishment,” the University will work toward “best in the world” status by appointing outstanding faculty members. The aim of being “international” will be supported by ensuring that at least half of the faculty members are from outside Japan, and by attracting faculty members with strongly international experience and perspective. The overall ratio of faculty to students will be about 1:3.

All faculty members will be expected to teach in English.

Faculty will be expected to maintain a program of excellent research and publication, to participate in the teaching program of the Graduate University, to supervise graduate research projects, and to assume appropriate responsibilities in the University academic community. The full-time faculty will be composed of Professors, Associate Professors and Assistant Professors, all of whom have independent research programs, teach in the Graduate University, and supervise doctoral research.

In addition to the full-time faculty members, the faculty will include Adjunct, Visiting, and Distinguished Professors. Adjunct Professors will generally have external appointments in other universities, but will have laboratory resources at the University and will spend significant amounts of time (up to 50% full-time equivalent) at the University. Adjunct Professors will contribute by directing or

assisting in teaching University courses, contributing to University international workshops, and participating in research. Adjunct faculty members will not be primary Thesis Supervisors but may serve on Thesis Committees.

Visiting Professors and Sabbatical Visitors (link to Procedure for Applying for a Sabbatical Visitor) will have external appointments in other universities. They will not have independent laboratory resources at the University, but will spend significant time at OIST. Visiting Professors will contribute by directing or assisting in teaching University courses, contributing to University international workshops, and participating in collaborative research. Visiting faculty members will not be primary Thesis Supervisors but may serve on Thesis Committees.

Distinguished Professors are internationally recognized researchers who hold or have held senior professorial positions in other Universities or institutions, or who have been awarded a Distinguished Professorial Fellowship allowing them to continue research as head of a research unit. In the latter case, the academic title will be Distinguished Professor (Fellow). These are fixed-term appointments for up to five years, and may be renewed. Distinguished Professors may attend meetings of the Faculty Assembly as non-voting members. Distinguished Professors provide an opportunity for students to be exposed to a wide range of perspectives and topics. Distinguished Professors contribute to teaching of University courses in accordance with expectations of full-time faculty, contribute to Academic Mentoring of PhD students, student recruitment and admissions, examinations, co-supervise students and serve on academic committees. Distinguished Professors shall not, in general, be the principal supervisor of PhD thesis students but exceptionally may continue to supervise students if special justification exists, such as students who have already completed their preliminary thesis research with the Professor, or students who require specialist knowledge that would not be available otherwise. Distinguished Professors with research laboratories may host rotation students, but in general may not host Special Research Students.

Distinguished Professorial Fellowships may be offered to those who have held a Professorial position at OIST (including Adjuncts) for at least 5 years, who have reached the age of retirement (i.e. are 70 or over) and whose most recent External Review classed their research as “Outstanding” or “Excellent” and endorsed their future program as being at least “Excellent”.

### **3.2.2 Faculty Teaching Assignment**

The University is dedicated to excellence in research and education. Access to opportunities to develop and coordinate a course is important for the professional development of faculty members because scholarship and teaching are the primary factors in

evaluation for promotion and tenure. While the quality of teaching is paramount an evenly distributed teaching load is also important to ensure that all staff can achieve and demonstrate excellence in a sufficient amount of teaching and that individual staff members do not carry excessive teaching loads.

The Dean of the Graduate School will assign faculty members to be Course Coordinators, and determine which faculty members contribute to each course. The Course Coordinators will be responsible for overseeing the content, teaching, and examination requirements of the course. Faculty will be expected to have a deep knowledge of the area covered by the syllabus of the courses they coordinate.

### **Guidelines for teaching assignment**

1. All full-time faculty members are expected to teach one approved graduate course per year (two credits per year). If faculty members share teaching of a course their point contribution can be calculated pro rata. For example, the two credits could be achieved by co-teaching two courses, or teaching two courses of one credit.
2. The teaching expectation of adjunct faculty members is proportional to their time commitment to the University. For example, an adjunct faculty member with 50% commitment to the University is expected to contribute one-credit.
3. The credit loading may be amortized over two years provided the overall teaching commitment of the University in any given year is realized.
4. Faculty members are encouraged to go beyond minimum requirements for educational reasons and faculty may use additional time to teach a course if they so wish, provided that this can be accommodated in the student timetable. However, teaching longer in a course does not contribute additional credits.
5. We have a commitment and an obligation to MEXT to deliver teaching by accredited faculty members. Abdication of teaching responsibilities is viewed seriously. The opportunity to enhance teaching by participation of visiting professors is recognized but certain guidelines apply.

Substitute teachers may not be used to deliver the faculty commitment, except under the sabbatical leave regulations. Guest lectures by visiting faculty are welcome but require prior approval by the Dean of the Graduate School, based on confirmation that the teaching content and methods will fulfill the course objectives. Applications must be submitted at least one month prior to the scheduled teaching on form [[link: TBD](#)].

6. With the agreement of the Deans of the Graduate School and Faculty Affairs, non-faculty researchers (Postdoctoral Scholars, Staff Scientists, Research Specialists and Science and Technology Associates) [\[link: \]](#) may contribute to courses under the supervision of a faculty member. Non-faculty researchers may not be the principal supervisor of graduate students, but may assist in supervising their research assignments. If such members of the research staff are engaged in teaching, it should be connected with their project and enhance their academic development, and be recorded by the graduate school. In such cases it is expected that the University faculty member is present for the scheduled teaching hours to provide mentoring and quality control; this should not be used to replace faculty in teaching. Measures of performance of non-faculty researchers may include the contribution to teaching. Non faculty members wishing to teach should consult the relevant section of the Graduate School Handbook [\[link: \]](#).
7. Other teaching and administrative responsibilities do not offset the baseline faculty teaching expectation. Other teaching responsibilities include service as Academic Mentors, on Committees including the Admissions Committee [\[link: 5.13.1\]](#) and the Curriculum and Examinations Committee [\[link: \]](#), supervision of PhD Thesis Research, Supervision of Rotations, and Supervision of Research Interns etc.

### 3.2.3 **Research Units**

The Research Unit is the administrative entity for managing faculty research at the University. All full-time faculty members including Assistant Professors will be independent heads of Research Units. The non-hierarchical organization of the faculty and the absence of departmental structure will encourage interaction between Research Units and sharing of space, equipment, and expertise, which will promote interdisciplinary research activities. Research Units may appoint Staff Scientists, Research Specialists or Technicians [\[link: \]](#) as fixed term employees. For continuing appointments, the Unit Head may make a proposal to the Continuing Staff Appointments Committee [\[link to CSAC-14-No01-V1.3\]](#). Staff Scientists and Research Specialists may be nominated as Group Leaders. Postdoctoral Scholars are always fixed term employees. Administrative personnel will be appointed according to the administrative needs of the Research Units, and may be shared between different Research Units. Faculty members have a high level of responsibility when employing fixed term research staff to ensure that their training and career development needs are taken into account.

### 3.2.4 **Recruitment, Appointment, Promotion, Evaluation and Retirement of Faculty**

Faculty members of the University are selected based on the highest international standards of evaluation of candidates to ensure the recruitment of the best available faculty. The procedures are

described in the Search Committee Handbook, the Tenure Review Evaluation Committee Handbook, the Promotion Review Evaluation Committee Handbook and the External Review Committee Handbook.

#### **3.2.4.1 Strategies for Recruiting the Best Available Faculty**

The University will recruit faculty through open competition and strict review with the highest academic and research standards, expressly including external evaluation. To attract world-class researchers, the University will need to provide an excellent research environment. An important consideration is internal funding. Funding is provided for each Research Unit based on a five-year approved budget plan, adjusted annually to conform to the actual budget and changes that may have occurred in the Unit. Faculty members also will be encouraged to seek external funding. To attract world-class researchers, the University will offer salaries, travel expenses, and other benefits that are competitive with top universities in other countries.

#### **3.2.4.2 Age and Gender Distribution of the Research and Teaching Staff**

The University's recruiting policies will aim for a balance in the age distribution of the University faculty. This will ensure that both new researchers and more established researchers will be represented among the faculty. The University is an equal opportunity employer and is committed to increasing the diversity of its faculty. The University welcomes nominations of and applications from women and members of underrepresented groups, as well as others who would bring additional dimensions to the University's research, teaching and commercial development missions.

#### **3.2.4.3 Appointment and Promotion**

The University will use standard tiered ranks of appointment enabling smooth transfer of personnel between institutions and enhancing recruitment at appropriate levels to maintain world-best standards of faculty teaching and research. This will consist of a tenure-track system comprising Assistant Professors, Associate Professors and Professors. Appointments may be made at any of these levels. Tenure carries with it a commitment of employment until retirement. However, it does not guarantee internal research support. Tenured faculty will compete along with their fellow tenured and non-tenured faculty colleagues for internal research funding on a 5-year cycle.

Assistant Professor is an untenured position. A tenure evaluation is conducted in year six, with a Tenure Evaluation Start Date (TESD) of the last day of the 6<sup>th</sup> month of year six. The Tenure Evaluation Start Date is the deadline for receiving the materials from the candidate. The TESS cannot normally be delayed except for the specific reasons detailed in the TREC

Handbook. If the outcome of the tenure review is positive, an Assistant Professor is promoted to Associate Professor and awarded tenure. "If the outcome of the tenure evaluation is negative, the contract of the Assistant Professor is terminated at the end of their contract period, or one year from the notice date, whichever is the later. Under exceptional circumstances, an Assistant Professor who has had a negative tenure outcome can be reviewed for promotion to Associate Professor without tenure.

Initial appointment to Associate Professor in general is with tenure, but can be made without tenure. Associate Professor appointed with tenure will be reviewed for promotion to Professor during the 4th year after appointment. Early review will be permitted in exceptional circumstances.

Normally the position of Professor denotes tenure, although there may be some situations where this is not the case, such as when the individual is beyond the retirement age or is appointed as Distinguished Professor.

**a) Process of Determining Rank and Tenure Status at Appointment or by Promotion**

Appointments and Promotions follow a rigorous process of evaluation, recommendation and review.

For an *appointment*, the evaluation and recommendation phase is carried out by a *Search Committee*.

For a *promotion* and *tenure*, the evaluation and recommendation phase is carried out by an *Evaluation Committee*. (Promotion Review Evaluation Committee and Tenure Review Evaluation Committee).

These committees are made up of members of the Faculty Assembly and may include external members as detailed in the corresponding TREC Handbook. These are non-standing committees that are established independently for each individual action. In both search and evaluation, substantial input from external reviewer is required and the external reviewer input carries the most weight with regard to the final evaluation. The recommendation of the *Search Committee* or the *Evaluation Committee* will be reviewed by the President and in the case of positive recommendation, Final decision shall be made by the Board of Governors.

**b) Confidentiality of Appointment and Promotion Proceedings**

The entire appointment and promotion proceedings require discussion of specific individuals, and the opinions

of others regarding those individuals. This and other relevant information must be held in strict confidence by all participants. The University commits to extensive measures to protect the privacy of the candidates by preserving the confidentiality of the information it receives regarding the candidates.

#### **c) New Appointments: Structure and Membership of the Search Committee**

The Search Committee is responsible for gathering data on scholarship, teaching, and other relevant matters. The Search Committee will comprise three to five members of the Faculty Assembly with a senior faculty member serving as chair. Search Committees may include external members, but the Chair should be from the Assembly. Members of the Senior Level Executives should not normally be members of Search Committees.

A member of the Search Committee will be assigned the responsibility of insuring that the diversity standards for the search are met.

#### **d) Criteria for Appointment**

Both scholarship and teaching are important prerequisites for faculty appointments because the University is dedicated to excellence in both. The purpose of the appointment evaluation of the candidate is to appraise, on the basis of the record to date, the standing and potential in the relevant scholarly discipline, broadly defined, and the quality of teaching and mentoring.

All applications will require three letters from reviewers of the candidate's choice. For candidates considered for possible appointment, the Search Committee will solicit additional external reference letters. Letters from external reviewers are essential for an objective process and, in general, carry more weight than internal letters. At least 4 letters from external reviewers are required for appointment at the non-tenured level. At least 8 letters from external reviewers are required for tenure appointments. The majority of the external reviewers should neither be close collaborators of the candidate nor have served as mentors of the candidate. When soliciting the opinion of internal or external reviewers, the Search Committee should use the sample letters of request from the Search Committee Handbook.

The first criterion for an appointment is that the individual's scholarship and research ranks among the top 5-10 percent in their world-wide cohort at his or her level of professional development for the proposed appointment

level. Letters from reviewers should support this assessment in an unequivocal fashion.

The second criterion for appointment is a record of high quality teaching that clearly establishes that the candidate can plan and sustain a quality teaching program. Given that some candidates (especially for appointment to the assistant professor rank) may not yet have had an opportunity to teach extensively, the Search Committee must assess whether the candidate has the potential to be a quality instructor at the University. Teaching is broadly defined to include the classroom or laboratory, advising, mentoring, program building, and curriculum development. If available, evidence and testimonials of the teaching record should be included in the file.

The outcome of the Search Committee will be a file containing the Appointment Papers and a cover letter from the Chair submitted to the President through the Dean for Faculty Affairs.

When a Search Committee process results in a positive recommendation, there will be two levels of review that are required in order to achieve ratification. Taken in order they are:

- 1) Review by the President.
- 2) If this review is positive the file, accompanied by a letter from the President, goes to the Board of Governors for final approval.

#### **e) Promotion: Structure and Membership of the Evaluation Committee**

The Promotion Review Evaluation Committee (PREC) [[link to Promotion Review Evaluation Committee Handbook](#)] has the responsibility for gathering data on scholarship, teaching, service and other relevant matters. The PREC will comprise three to five members of the Faculty Assembly with a senior faculty member serving as chair. the PREC may include external advisors, but the Chair should be from the Faculty Assembly.

Members of the PREC should have no collaborative or mentoring relationship with the candidate, although this may sometimes be unavoidable or preferable to other alternatives. Any mentoring or collaborative relationship between the candidate and either a review committee member or a reviewer should be clearly disclosed in the cover letter from the Chair.



Letters from external reviewers are essential for an objective evaluation process and, in general, carry more weight than internal letters. At least 6 letters from external reviewers are required. The majority of the external reviewers should neither be close collaborators of the candidate nor have served as mentors of the candidate. When soliciting the opinion of external reviewers, the PREC should draft the letter requesting the evaluation based on the template in the Promotion Review Evaluation Committee Handbook.

A member of the committee should be assigned the responsibility of insuring that the diversity standards for the evaluation are met.

**f) Tenure  
Review Evaluation Procedures**

Scholarship and teaching are the primary factors in evaluation for tenure because the University is dedicated to excellence in research and education. Service to the University and/or the community is also a relevant consideration. Scholarly distinction is especially important because it sustains both the University's research and teaching mission, which derives its strength from the ongoing involvement of the instructors in research at the forefront of a field. The purpose of the tenure evaluation is to appraise, on the basis of the record to date, the standing and potential in the relevant scholarly discipline, quality of teaching and mentoring, and quality and relevance of service.

The Tenure Review Evaluation Committee (TREC) [link to Tenure Review Evaluation Committee Handbook Version 2.4] has the responsibility for gathering data on scholarship, teaching, service and other relevant matters. The Dean of Faculty Affairs will appoint the TREC members after discussion of potential membership and possible external advisors with the candidate. The TREC will comprise three to five members of the Faculty Assembly with a chair nominated by Dean of Faculty Affairs. The TREC may enlist an external advisor to assist with identifying suitable reviewer or alternatively may include an external member to assist in assessing the case for tenure, with full membership of the TREC and voting rights.

Letters from external reviewers are essential for an objective evaluation. At least 8 letters from external reviewers are required. The external reviewers should neither be close collaborators of the candidate nor have

served as mentors of the candidate. When soliciting the opinion of external reviewers, the TREC should draft the letter requesting the evaluation based on the template in the Tenure Review Evaluation Committee Handbook.

The first criterion for a tenure appointment is that the candidate has achieved the highest level of distinction in scholarship and research that places them within the top echelon of their international peer group. The peer group comprises world-wide scholars that are at the same level of academic maturity who work in research areas that are similar or closely allied to that of the candidate. Letters from reviewers should support this assessment in an unequivocal fashion.

The second criterion for a tenure appointment is a record of high quality teaching that clearly establishes that the candidate can plan and sustain a first-rate teaching program. Teaching is broadly defined to include the classroom or laboratory, advising, mentoring, program building, and curriculum development. A letter from the Dean of the Graduate School is required to document and evaluate the teaching, rotation supervision and mentoring roles..

In some cases, service to the University can be relevant to the tenure decision. But service, however exemplary, cannot substitute for major shortcomings in scholarship or teaching.

The outcome of the TREC will be a file containing the Tenure Review Papers and a cover letter from the Chair of the TREC, submitted to the President through the Dean for Faculty Affairs.

The positive recommendation of the TREC will proceed through two levels of review. Taken in order they are:

- 1) Review by the President
- 2) If the President agree with the recommendation by TREC, the file, accompanied by a letter from the President, goes to the Board of Governors for final approval.

In the case of a negative recommendation of the TREC, agreed by the President, the candidate will be informed of the outcome. The outcome will also be reported to the Board of Governors, which may occur before or after informing the candidate.

For an Assistant Professor, the award of tenure automatically involves promotion to Associate Professor.

For an Associate Professor, TREC may solicit from the reviewers an opinion on whether to promote to Professor and on the basis of the responses may make such a recommendation.

In the case of a negative decision for tenure, the appointment will terminate as in the contract, or after a year if the remaining time on the contract is less than a year. The candidate should work with the Dean of Research and the Dean of Faculty Affairs to ensure an orderly transition, including making proper provision for the timely completion of any theses that are in progress, for redeployment of any continuing staff and for the completion of the contracts for the fixed-term staff and post-doctoral scholars.

**g) OIST “Stop-the-Clock” Policy for Tenure-Track Faculty**

Tenure track faculty may request an extension of their contract and postponement of their tenure evaluation to accommodate parental responsibilities relating to the birth, adoption of a child or rearing of a baby. This policy is referred to as “Stop-the-Clock” .

All full time tenure track faculty responsible for the care of a new born or newly adopted child in the family are eligible. One further extension may be requested to accommodate the birth or adoption of a second child. Faculty cannot apply to stop the clock twice in the case of a multiple birth (e.g., twins).

The form requesting an extension is available at [Link]. Upon receipt of a written request to the Dean for Faculty Affairs to “Stop the Clock” , the following actions will be taken.

1. The tenure review date will be postponed by one year.
2. The contract end date of the candidate will be extended by one year.
3. The Unit funding will be extended by one year.
4. The contracts of unit staff will not be automatically extended.

This policy is independent of maternity, parental or childcare leave. An extension of the tenure evaluation period does not alter the candidate’ s normal duties (i.e., teaching, supervision).

A candidate who wishes to extend the tenure evaluation period to accommodate the addition of a child to the family

shall complete the form and submit it to the Office of the Dean for Faculty Affairs. The application to “Stop-the-Clock” must be submitted before the tenure review process begins (i.e., due date for submission of materials for tenure review).

In cases where there are extenuating circumstances (e.g. multiple births, difficult pregnancy, premature birth or medical conditions associated with childbirth), the Dean for Faculty Affairs may grant an additional 3-6 month discretionary extension. A request for an additional discretionary extension must be submitted to the Dean of Faculty Affairs together with supporting documentation (e.g. a medical certificate).

#### **h) Appeal Process**

The purpose of the appeal process is to determine whether the tenure review procedures were correctly followed. It is not a reevaluation of the decision. The grounds for an appeal are limited to determining whether there were procedural errors (such as the failure to bring proper facts and criteria to bear on a decision, or the introduction of improper facts and criteria, or the failure to follow procedures

#### **3.2.4.4 Annual Performance Evaluation, Bonuses, and Salary Advancement**

Faculty members will be evaluated for individual performance on an annual basis. The evaluation will include performance in teaching, research support activities, and university service. Based on satisfactory performance, faculty members are eligible for an annual salary advancement based on OIST budget status and national guidance for salary increases. Both annual one-time merit bonuses and base salary advancement will be used to acknowledge exceptional performance. Research performance of the faculty unit will be evaluated separately.

#### **3.2.4.5 Research Unit Budget and Evaluation**

Each full-time and adjunct faculty research unit will receive multi-year subsidy support based on a proposal reviewed and approved at the time of hiring for new faculty, or for current faculty, reviewed and approved at a progress review conducted by a committee of experts from outside of OIST [[link: External Review Committee Handbook](#)].

#### **3.2.4.6 Conflict of Interest**

OIST policies concerning conflicts of interest are described in PRP Chapter 22. Members of the faculty must declare conflicts of interest or the appearance of a conflict of interest when these exist. The existence of a conflict of interest is not necessarily a

barrier to employment or procurement relationships. However, special procedures must be followed to ensure the integrity of interactions with and the fair treatment of students, researchers, employees, contractors, vendors, and others associated with faculty in the execution of their duties.

### **3.3 Retirement**

The normal retirement date for faculty members will be at the end of the academic year in which they reach 70 years of age, or on the date they reach 70, whichever is specified in the contract. Two years prior to retirement, faculty members should work with the Dean of Research and the Dean of Faculty Affairs to ensure an orderly transition- i.e., making proper provisions for staff/postdocs, and other matters. Professors are not permitted to accept new PhD students and to serve as their primary supervisors after reaching 65. No external Unit review will be conducted after 65 years.

Faculty members may choose to retire early, after the age of 60, if they have served the university in a significant capacity for at least 10 years. Early retirement will be granted at the discretion of the President.

#### **3.3.1 Emeritus Professor**

OIST will apply the title Emeritus Professor indefinitely to all full-time faculty upon retirement, including those who have retired early. This comes with no salary, but with access to OIST resources and limited privileges for a period of five years, which may be renewed in negotiation with the President. Entitlement to emeritus status and access to OIST resources is conditional upon adherence to Japanese law and University policies, rules, and procedures. The President may rescind both emeritus status and access without notice in the event of a violation.

#### **3.3.2 Continuing employment beyond retirement age**

Upon invitation by the President, faculty members may extend their contracts beyond retirement age, subject to successful external review. Such cases will be highly unusual.

For continuing employment, faculty members will submit a research plan with a term of no more than 5 years to the President for agreement, including a strategy for closing the unit within the term, and for being substantially financed using external funds. The President and faculty members will discuss access to space and equipment with the Dean of Research. If faculty members invited by the President wish to continue doing research after retirement, they must undergo an external review with their research plan in the academic year in which they turn 68 in principle. Faculty members thus approved after the external review will continue doing research and carrying teaching and service responsibilities and the title “Professor” during the agreed term beyond retirement age.

This is considered a fixed-term, untenured position and will involve a significant reduction in unit space and funds. Salary will be negotiable, but will normally be reduced.

### **3.3.3 Faculty members serving in executive capacities**

Faculty members who have served in executive capacities (i.e. Dean or Vice President) for a certain period will be allowed additional time for research after the retirement date, that was negotiated with the President. This policy will function as an incentive for faculty members to assume executive functions. Research funds, salaries and unit space will not be affected during this period, and will continue as stipulated in their then current contract for the duration of their additional service.

### **3.3.4 Non-Faculty Research Appointments**

There are five classes of non-Faculty Research Appointments; Postdoctoral Scholars [[link](#) ], Staff Scientists [[link](#) ], Research Specialists [[link](#) ], Technicians [[link](#) ] and Science and Technology Associates [[link](#) ]. Non-faculty research staff may undertake limited teaching duties as described in 3.2.2 item 6. The definition of each non-Faculty Research Appointment is stipulated in 4.2 [[link](#) ].

## **3.4 Management Structure for Academic Issues**

The management structure of the University is described in the Chapter 2 [[link](#) ]. The administrative organization responsible for faculty governance and academic issues will be the Faculty Assembly (the “Assembly”). The Assembly will have an executive body, the Faculty Council (the “Council”). The Assembly and Council are described in sections 3.4.1 and 3.4.2, respectively. The administrative home of the members of the faculty will be the Dean for Faculty Affairs.

The Dean of Research will lead the Research Support Division; administer common resources, shared equipment, grants and research computing; promote good conduct in research and ensure that the research program conforms to the highest ethical standards; lead appropriate subcommittees of the Research Support Sections as well as represent OIST as needed in the areas of safety and other research-related domains; liaise with the Deans for Faculty Affairs and of the Graduate School.

The Dean of the Graduate School [[link](#) ] will administer the OIST Graduate School. The position of Dean of the Graduate School will be a rotating position of the faculty with a three-year term, which is renewable at the discretion of the President.

The Dean of the Graduate School will manage the academic program, including the following matters:

- Student recruitment and admissions
- Curriculum and organization of courses

- Student guidance and supervision
- Student career development
- Award of degrees and graduation
- Enrollment, re-enrollment, withdrawals, transfers, overseas study, leave of absence
- Appraisals and sanctions of students
- Evaluation of teaching
- Other matters relating to education

As necessary, the Dean of the Graduate School will appoint committees that the Dean of the Graduate School chairs, the Dean of the Graduate School's committees, which include faculty members to advise on those matters requiring academic and educational input. For instance, faculty will staff the Admissions Committee. To enable changes to the curriculum in a given area, the Dean of the Graduate School will choose specific people to help in approving suggested modifications.

A Senior Assistant to the Dean of the Graduate School will administer the student-related functions including financial aid to students, student housing, student organization, student activities, student welfare, mentoring and career development, and student records. The position of Senior Assistant is an administrative, non-rotating position that will provide continuity in administration of the Graduate School.

### **3.4.1 Faculty Assembly**

#### **3.4.1.1 Role of the Assembly**

The Assembly is a self-governing body of the whole professoriate that provides the faculty with information about university matters and serves as a forum for open discussion of University affairs with the President. The Assembly is advisory to the President. The Assembly can bring issues that warrant the attention of the University management directly to the President. For operational efficiency the Assembly elects a subgroup, called the Council. The Council, under the leadership of the Chairperson of the Assembly, acts as the executive committee of the Assembly. The members of the faculty in addition have administrative duties on various committees [[link : 4.2.1](#)], such as the Common Resources Advisory Committee, Animal Care and Use Committee, Human Subjects Research Review Committee, and Biosafety Committee. These functions are services to the University; the President, Executive Vice President for Technology Development and Innovation, Dean of the Graduate School Dean for Faculty Affairs and Dean of Research make appointments to these committees.

#### **3.4.1.2 Membership of the Assembly**

The membership of the Assembly includes all full-time Professors, Associate Professors, and Assistant Professors. The Secretary to the Assembly (see 3.4.3[[link](#): ]) will act as the

Executive Secretary of the Assembly. Adjunct, Emeritus, Distinguished and Visiting faculty members may participate in Assembly meetings as non-voting members. Two student representatives (elected by the students), two researcher representatives (elected by the Postdoctoral Scholars, Staff Scientists, and Research Specialists through the OIST Researcher Community [link to 4.2.8]) and one representative of the Science and Technology Group (elected by the Science and Technology Forum [Link to 4.3.1] may participate in the Assembly, with speaking rights but without voting rights.

The President, Executive Vice President for Technology Development and Innovation Dean of the Graduate School Dean for Faculty Affairs, and Dean of Research may participate as ex officio members. The ex-officio members and student and research representatives attend the Assembly meetings at the invitation of the Chairperson and may be excused when the Chairperson deems necessary.

#### **3.4.1.3 Chairperson of the Assembly**

The Assembly has a Chairperson. The Chairperson of the Assembly will be elected by secret ballot of the Assembly. Elections to the position of Chairperson will take place every two years. The term of office as Chairperson is two years. For the election of the Chair of the Faculty Assembly, a call for nominations will be made on January 1. Candidates will make their presentations at the Faculty Assembly meeting in February. The election will be held immediately following the Faculty Assembly presentations. If the Chair of the Faculty Assembly is unable to serve, the Faculty Council will appoint an interim Chair, who will hold elections within two months, to fill the position until the end of the previous Chair's term.

The role of the Chairperson is to preside at meetings of the Assembly. The Chairperson will set the dates of meetings. The agenda is set by the Chair of the Assembly, but the President, Executive Vice President for Technology Development and Innovation, Dean of the Graduate School Dean for Faculty Affairs and Dean of Research should always be consulted and be invited to the meeting. The Chairperson will represent the faculty as ex-officio member of OIST administrative committees as deemed necessary. The Chairperson will communicate the results of the deliberations of the Assembly and its subsidiary bodies to the appropriate members of the administration (Board of Governors, Board of Councilors, President, The Executive Vice President, Executive Vice President for Technology Development and Innovation, Dean of the Graduate School Dean for Faculty Affairs and Dean of Research).

#### **3.4.1.4 Frequency of Convocation**



The Chairperson will call meetings of the Assembly at least three times per year.

#### **3.4.1.5 Items to be Discussed at Meetings of the Assembly**

The Assembly will deliberate on policy matters, strategic direction and educational philosophy. The Assembly may consider specific matters as follows:

- Election of the Council
- Enrollment, re-enrollment, withdrawals, transfers, overseas study, leave of absence
- New research initiatives
- Common resources and space
- Faculty recruitment, promotions, and tenure
- Staff welfare
- Information technology and libraries
- Formation of subcommittees
- Reports on academic matters
- Reports on other committees
- Other matters

The Faculty Assembly shall state its opinion for the admission and graduation matters and completion of academic programs. Authority is delegated to the Admissions Committee to select students for admission to the PhD program. Authority is delegated to the Curriculum and Examinations Committee to deal with matters related to the curriculum and individual student progress in the PhD program, The Admissions Committee and the Curriculum and Examinations Committee are advisory to the Dean of the Graduate School, and report to the Assembly through the Dean of the Graduate School.

#### **3.4.1.6 Procedures and Rules of the Assembly**

- a) If there is not a majority of the members with voting rights in attendance, the Faculty Assembly shall not transact its business.
- b) Resolution of the Faculty Assembly shall be passed by a majority. The Chairperson shall make a decision in case of tie in votes
- c) As deemed necessary by the Chairperson members may participate in the Faculty Assembly meeting by teleconference and exercise voting rights. Absent members may not exercise voting rights.
- d) As deemed necessary by the Chairperson people other than members of the Faculty Assembly may be invited to attend the meeting.

- e) The agenda and minutes of the meetings of the Faculty Assembly shall be made available to all Faculty Assembly members.

### **3.4.2 Faculty Council**

The Council is the elected executive body of the Assembly and its role is to provide advice to the President on academic and administrative matters. The agenda is set by the Chair of the Council, but the President, The Executive Vice President, Executive Vice President for Technology Development and Innovation, Dean of the Graduate School Dean for Faculty Affairs and Dean of Research should always be consulted and be invited to the meeting. Other members of the administration can be invited as need be. These meetings are critical for the healthy operation of the institution and provide a venue at which the trust and cooperation between administration and faculty can be established and maintained. The Assembly devolves the responsibilities to deliberate on specific matters to the Council. The membership of the Council includes 8 elected members of the Assembly (at least two of whom are Assistant Professors) including the Chair of the Faculty Assembly. Terms of the members of the Faculty Council and the Chair of the Faculty Assembly start on September 1. Members are elected for a term of two years and may serve two consecutive terms. The Assembly may vote to increase the number of members on the Council proportionately as the faculty grows but the number may not exceed 20% of the whole faculty. Following ex-officio members and the advisor may attend the Council. The composition of the Council is as follows:

#### **Elected Members**

Chair of the Assembly

Seven elected members of the Assembly

#### **Ex Officio Members**

President

Executive Vice President for Technology Development and Innovation

Dean of the Graduate School

Dean for Faculty Affairs

Dean of Research

Secretary to the Assembly

#### **Advisor**

Vice President for Financial Management

The Council will meet monthly. Council minutes will be available to all faculty members.

For the election of the members of the Faculty Council, a call for nominations will be made on April 15. Candidates will make their presentations at the Faculty Assembly meeting in June. The election

will be held immediately following the Faculty Assembly presentations.

#### **3.4.2.1 Procedures and Rules of the Faculty Council**

- a) A majority of votes is required to pass a resolution in the Faculty Council. The elected members of the Faculty Council have voting rights. The Ex Officio Members and Advisors do not have voting rights. If there is not a majority of the members with voting rights in attendance, the Faculty Council shall not transact its business.
- b) The Faculty Council agendas and minutes will be available to all faculty members.

#### **3.4.3 The Secretariat of the Faculty Assembly and Faculty Council**

The Faculty Affairs Office plays the role of the Secretariat of the Faculty Assembly. A Secretary to the Assembly will work with the Chair of the Faculty Assembly and act as the Executive Secretary to the Assembly and to the Council, with the responsibility for preparing their Agendas, preparing or commissioning the papers for meetings, serving any sub-Committees created by the Assembly or Council, and coordinating with the Senior Level Executive [link: 30.2.2.1.1].

### **3.5 Academic Program Evaluations**

#### **3.5.1 Basic Policy**

The University will conduct regular assessments of education, research and results leading to technological developments. This will entail the review of organizational operation, facilities and equipment, and the release and dissemination of the research results and technologies and patents to the public.

#### **3.5.2 Method**

Assessment will be conducted regularly, based on the criteria set in advance, in regards to the goals of the University.

#### **3.5.3 Structure for Assessment and Evaluation**

The University will have an ongoing internal procedure of periodic review and assessment by committees of experts from the best universities in the world. In addition to this internal assessment, an external evaluation will be conducted by a third-party evaluation organization accredited by the government.

#### **3.5.4 Publication and Utilization of the Results**

The University will summarize the results of the external evaluation as a report to the Board of Governors, which has the responsibility for disseminating the report appropriately. The Board will deliberate on the results and use them to improve the education, research, technology impact and management of the University. Such results will be made publicly available by means of the University's web site and other publications.

### **3.5.5 Major Evaluation Items**

Major evaluation items include:

- Purpose of the University
- Research results
- Technology impact
- Organization for education and research
- Faculty and supporting staff
- Student admission
- The contents and methods of education
- Educational performance
- Student support
- Facilities and equipment
- System(s) to improve the quality of education
- Finance
- Management

## **3.6 Strategies to Maintain and Improve the Quality of Teaching Staff**

### **3.6.1 Basic Policy of Educational Development**

The University must maintain and improve the quality of its faculty in order to provide an outstanding education at the University and to meet the different educational needs of each student. The office of the Dean of the Graduate School will play an active role in the development of faculty members by implementing programs for faculty development in teaching and supervision of graduate students.

### **3.6.2 Methods**

Specifically, the University will conduct the following:

#### **3.6.2.1 Teaching Guidelines**

The Dean of the Graduate School's office will create, maintain and distribute guidelines for quality teaching to ensure that uniform best-practice teaching standards are observed at the University.

#### **3.6.2.2 Student Teaching Evaluations**

Students will evaluate each course with a standardized questionnaire at the end of the course. The student responses will be reported to the Dean of the Graduate School's office and will be distributed to the instructors and students. The Dean of the Graduate School's office will assist the instructors to respond appropriately to this feedback. This feedback should be treated as confidentially as possible.

#### **3.6.2.3 Peer Review of Teaching**

Faculty members will support the development of their colleagues by participating from time to time as classroom observers, with the agreement of the instructor. The date of such observation will be reported to the Dean of the Graduate School's office, and the observer will discuss their observations with the instructor in a collegial, respectful and supportive manner.

#### **3.6.2.4 Instructor Training**

The Dean of the Graduate School's office will arrange training sessions, and workshops for faculty development from suitably qualified facilitators, in order to enhance the teaching ability of faculty members.

#### **3.6.2.5 Mentoring**

A mentoring system will be established so that faculty with less experience in teaching and thesis supervision can meet with more experienced faculty to receive advice and support. As a part of this system the Thesis Committee supervising each student will include junior and senior faculty members to facilitate the transfer of skills relating to supervision of research.

The Dean of the Graduate School's office will implement these methods to ensure the improvement of the education and research of the Graduate University.

### **3.7 Faculty Leave**

#### **3.7.1 Holiday Entitlements**

Holiday entitlements are defined in PRP Chapter 33 Leave.

#### **3.7.2 Sabbatical Leave**

After each three years of service, tenured faculty will be entitled to spend a 6-month sabbatical leave engaged in research activities freed from teaching and administrative obligations [link to Procedure for Applying for Sabbatical Leave]. *Before taking sabbatical leave*, it is the responsibility of each faculty member to ensure that all other duties, notably research and supervision of graduate students, are adequately covered during their absence. The Dean of the Graduate School must approve the arrangements for teaching coverage and student supervision, and the Dean for Faculty Affairs must approve the arrangements for research and administrative coverage. Leave may be accumulated so that a maximum of one year is available after 6 years. During sabbatical leave full salary is continued, and travel for research can be supported by the unit budget. In general, sabbatical leave should be taken off campus, but for family or other reasons it may be taken on campus with permission of the Dean for Faculty Affairs.

### **3.7.3 Leave without Salary**

A leave without salary is a period of leave that is without salary from the University or its disability, retirement, or other benefits programs.

#### **3.7.3.1 Requesting a Leave without Salary**

Leave without salary should be requested on a standard leave request form for review and approval by the Dean of the Graduate School and the Dean for Faculty Affairs.

#### **3.7.3.2 Review Criteria for Leave without Salary**

In deciding a request for leave without salary, consideration will be given to the faculty member's teaching and other academic responsibilities, scholarly productivity, number of doctoral theses supervised, previous leaves without salary, and any other relevant circumstances.

#### **3.7.3.3 Effect of Leave on Term of Appointment**

A leave without salary for faculty on fixed-term appointments extends the term of appointment by a period equal to the duration of the leave, unless there is advanced written agreement. This extension is not automatic and must be requested from and approved by the Dean of the Graduate School and Dean for Faculty Affairs.

#### **3.7.3.4 Effect of Leave on Term of Research Support**

With a leave without salary the period of research support may be extended by a period up to the duration of the leave. The total funds committed are not increased. Extension of the period of research must be approved by the Dean for Faculty Affairs.

#### **3.7.3.5 Period of Partial Leave without Salary**

Periods of partial leave without salary have the same effect on Term of Appointment and Term of Research Support as described in 3.7.3.3, and 3.7.3.4, but on a proportional basis.

### **3.7.4 Period of Pure Research Leave**

Full-time faculty members may apply for a period of pure research leave, which is defined as leave from teaching and other institutional responsibilities during which the faculty member receives full or partial salary supported by the University.

#### **3.7.4.1 Requesting a Period of Pure Research Leave**

Applications for periods of pure research should be requested on the regular leave form for review and approval by the Dean of the Graduate School and the Dean for Faculty Affairs.

#### **3.7.4.2 Reviewing a Request for Period of Pure Research Leave**

In deciding a period of pure research leave request, consideration will be given to the faculty member's teaching and

other contributions to the educational program of the University, scholarly productivity, number of doctoral theses completed under his or her supervision, previous leave without salary, and any other relevant circumstances.

#### **3.7.4.3 Effect of Leave without Salary or Pure Research Leave on Sabbatical Leave Service Accrual**

Sabbatical eligibility does not accrue during periods of leave without salary or pure research leave.

#### **3.7.5 Family and Medical Leave Policies**

The family, medical, childcare and other leave policies for OIST employees are described in PRP Chapter 33 Leave. [\[link: 33\]](#) In addition to the standard leave options, faculty can request adjustments in time or amount of teaching through the Dean of the Graduate School.

### **3.8 External Appointment or Employment**

Full-time faculty members may accept external visiting or adjunct appointments or employment in another university, research organization, or company provided that their educational, research and other activities in OIST are not affected and that there is no conflict with OIST PRPs, including intellectual property, research safety, animal care and use, human subjects or other relevant areas. Prior approval for external appointment or employment must be obtained from the Dean for Faculty Affairs in accordance with OIST Rules for External Professional Activities [\[link: \]](#). Such appointments or employment may not exceed 20% time. There must be disclosure of any financial interests.

### **3.9 Resolving Complaints and Disputes**

Procedures for resolving complaints and disputes are described in PRP Chapter 39 Resolving Complaints & Disputes. For complaints and disputes reported by faculty, the supervisor is the Dean for Faculty Affairs. The next level of management for the Dean for Faculty Affairs is the CEO/President. For Committee Level Dispute Resolution, the CEO/President will appoint a Dispute Resolution Committee. For complaints and disputes reported by employees supervised by faculty, the standard procedures described in Chapter 39 apply. For complaints and disputes reported by students, the procedures in Chapter 5 Graduate School Handbook apply.

### **3.10 Term and Conditions of Appointment**

#### **3.10.1 Employment Agreement**

The term and conditions of academic appointments are stated in the Employment Agreement, a copy of which should be in the possession of both the University and the faculty member. The term of academic appointments may be either (a) for a fixed number of years for non-tenured appointments or (b) without limit of time for tenured appointments. A tenured academic appointment without limit of

time extends from the effective date of the appointment to the date of academic retirement of the appointee.

**3.10.2 Prior Notice of Non-renewal of Appointment**

A faculty member holding a renewable, non-tenured appointment shall be notified by one year before the end of the term of the appointment if the appointment is not to be renewed. Failure to give timely notice of non-renewal shall entitle the individual to an extension of appointment for a period of one year from the time of notification.

**3.10.3 Prior Notice of Non-renewal of Internal Funding**

A tenured or non-tenured faculty member who after review has been notified that his or her internal funding will not be renewed will be provided with a negotiated level of funding to allow a scale-down during the last year of funding. Failure to give timely notice of non-renewal of internal funding shall entitle the individual to an extension of the current level of internal funding to the date of notification and to an extension of the scale-down period to a period of one year from the time of notification.

**3.11 Discipline**

Procedures for taking disciplinary action in response to conduct that violates the OIST PRPs are described in PRP Chapter 38 Discipline, which covers all OIST employees. For discipline of faculty members the supervisor is the Dean for Faculty Affairs, and if this cannot be resolved satisfactorily, the President.