The PRP in only one .pdf file

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If you are interested in how the document is generated, there is a
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OIST Researcher Community

OIST

Authority: Approved by the President

Chapter 0. ABOUT THE POLICIES, RULES & PROCEDURES LIBRARY

0.1 **Overview**

Policies are broad statements of principle that provide context and support for the attitudes and conduct expected of the Okinawa Institute of Science and Technology School Corporation (hereinafter referred to as "School Corporation") community. From policies flow "rules," which state what is encouraged, permitted, or forbidden. From rules flow procedures, the step-by-step instructions that implement the rules.

The Polices, Rules and Procedures (PRP) Chapters found in this PRP Library provide the framework and directions for working and conducting other transactions within School Corporation. The Library contains the administrative and operating requirements of the University, as well as the Faculty Handbook, the Graduate School Handbook, and the University Library. Responsibility for maintaining the PRP Library is vested in the Chief Operating Officer (hereinafter referred to as "COO") [link: 2.4.6.2], which oversees development of new and revised chapters and maintains the website, assisted by the Rules and Procedures Section [link: 0.2].

Each PRP chapter is intended to help faculty, students and staff (and in some cases, visitors, vendors and others) with policy guidance and rules, as well as clear "how to" instructions for accessing School Corporation services and complying with School Corporation requirements.

Because many of the policies, rules, and procedures in the Library have general applicability, this online PRP Library is accessible to the community outside School Corporation. Visitors, guests, vendors, and others who may be

intermittently on premises or otherwise involved with School Corporation are encouraged to review PRP Chapters that may be relevant.

The currently approved Chapters of the PRP Library are online; the prior versions are removed, deemed outdated and are void and of no effect.

0.1.1 **Regulations**

Designated University Officers establish regulations and guidelines (hereinafter referred to as Regulations) on specified matters designated by PRP among his/her responsibilities and duties. Requirements and restriction on 0.2.1 and procedures on 0.4.2 shall be followed in the process of the establishment and maintaining the PRP.

0.2 **Maintaining the PRP Library**

The COO is responsible for maintaining the Library of Policies, Rules and Procedures.

Officers and employees follow procedures specified in 0.4.1 when they establish new or revise some chapters of PRP.
However, the COO shall convene the PRP Review Committee [link:] for review as necessary before his/her approval in case of significant matters such as major change of Policies or draft of new Chapters.

In principal, date of enforcement of the proposal for establishment or revision is set in the Document for Approval Process (kessai). In the case that the date is not set in the Document for Approval Process (kessai), the proposal come into force (become effective) in the time final approve is done.

Rules and Procedures Section installs established new or revised PRP online regularly.

0.2.1 **Maintaining the Regulations**

Regulations shall be maintained by the department of the Designated University Officer, who established the Regulations, include old versions and edit histories.

Officers and employees follow procedures specified in 0.4.2 when they establish or revise Regulations.

Established new or revised Regulations come into force in the date which is written and approved by the Document for Approval Process (kessai). In the case the date is not set in the Document for Approval Process (kessai), the proposal come into force (become effective) in the time final approval is done.

The department of the Designated University Officer, inform and make available those established new or revised Regulations to School Corporation community by the department's web site or other relevant tools.

0.3 Responsibilities

0.3.1 Designated University Officers

The following Designated University Officers are responsible for the initial review, approval, and informing of establishment new or revising PRP chapters.
When he/she establish the Regulations on the specified matters designated by PRP, he/she has the responsibility for maintaining and informing those.

When he/she establish new or revise any Regulations or PRP which contain any other Designated University Officer's assignment, he/she has responsibility to obtain consent from them by consultation and discussion with relevant departments.

Chapter	Title	Designated University Officer
0	About the Policies, Rules and Procedures Library	COO
1	Who We Are: Founding and Governing Principles	President
2	Organization and Governance	President
3	Faculty Handbook	Dean of Faculty Affairs

Chapter	Title	Designated University Officer
4	Research Conduct	Dean of Research
5	Graduate School Handbook	Dean of the Graduate School
6	University Library	Dean of Faculty Affairs
7	Fundraising	President
8	Internal Audit	COO
9	Auditors' Audit	Auditors
10	Land, Buildings and Facilities	Vice President for Buildings and Facilities Management
12	Document and Record Management	COO
13	Safety, Health and Environmental Protection	Dean of Research Vice President for Buildings and Facilities Management
14	Intellectual Property and Technology Transfer	Executive Vice President for Technology Development and Innovation
15	Name Use, Endorsements, and Use of University Logos and Trademarks	Vice President for Communication and Public Relations
16	External and Internal Communications and Public Relations	Vice President for Communication and Public Relations
17	Information Technology and Security	Chief Information Officer
18	Telecommunications Services and Devices	Chief Information Officer
19	University Events	Vice President for Communication and Public Relations
20	Health and Wellness Program	Dean of Research
21	Use of University Resources	Vice President for Buildings and Facilities Management Vice President for Communication and Public Relations
22	Avoiding Conflicts of Interest and Commitment	COO and Dean of Faculty Affairs

Chapter	Title	Designated University Officer
23	Misconduct and Whistleblower Protection	COO
24	Child Care Services	Vice President for Gender Equality and Human Resource Development
25	Campus Housing	Vice President for Buildings and Facilities Management
26	Finance and Accounting	Vice President for Financial Management
27	Budget Planning, Execution, and Monitoring	Vice President for Financial Management
28	Procurement	Vice President for Financial Management
29	Travel, Meetings and Related Expenses	Vice President for Financial Management
30	Human Resources	Vice President for Gender Equality and Human Resource Development
31	Hiring Process	Vice President for Gender Equality and Human Resource Development
32	Work Schedules and Breaks	Vice President for Gender Equality and Human Resource Development
33	Leave	Vice President for Gender Equality and Human Resource Development
34	Compensation	Vice President for Gender Equality and Human Resource Development
35	Benefits	Vice President for Gender Equality and Human Resource Development
36	Performance Evaluation	Vice President for Gender Equality and Human Resource Development
37	Leaving the University	Vice President for Gender Equality and Human Resource Development
38	Discipline	Vice President for Gender Equality and Human Resource Development
39	Resolving Complaints and Disputes	Vice President for Gender Equality and Human Resource Development
40	Staff Development and	Vice President for Gender

Chapter	Title	Designated University Officer
	Awards	Equality and Human Resource Development
41	Workplace Health and Safety	Vice President for Gender Equality and Human Resource Development

0.3.2 Any employee who are proposing to establish a new, or revise PRP chapter prepares a draft conforming to the PRP format and other requirements in 0.4.1 and ask to check to the relevant Designated University Officer. The draft agreed by the Designated University Officers shall be reviewed by Rules and Procedures Section and shall obtain approvals from required officers and employees by Documented Approval Process (kessai).

0.3.3 Any employee who are proposing to establish new or revise Regulations prepares a draft and the Document for the Approval Process (kessai) by following the procedures in 0.4.2, and shall obtain approvals from relevant Designated University Officer(s) and COO.

0.3.4 **Rules and Procedures Section** reviews drafts of PRP and Regulations for conformance with Laws, Bylaws, University Rules, other PRP chapters and Regulations, and checked technical details such as PRP chapter format and for spelling errors, typographical errors.

0.3.4.1 Rules and Procedures Section installs the established new or chapter that have been approved by the CEO/President in the appropriate section of the online Policies, Rules and Procedures Library immediately.

0.3.4.2 Rules and Procedures Section informs changes of PRP to School Corporation community by way of using internal websites or other relevant tools.

0.3.4.3 Rules and Procedures Section maintains files of Unit-Specific Internal Procedures and Processes [link: 0.4.2] that have been approved and will make them available on an internal website restricted to University employees.

0.3.4.4 Rules and Procedures Section sends an email notification of the change(s) to the OIST Graduate University Community on or several days in advance of the effective date.

0.3.5 ***The COO*** provides a review for content/substance for each draft of established new or revised PRP chapter or Regulation submitted as a Document for Approval Process (Kessai).

0.3.6 ***The CEO/President*** reviews and gives final approval to a draft of established new or revised PRP chapters submitted as a Document for Approval Process (Kessai).

0.4 Procedures

0.4.1 Procedures to establish new or revised PRP Chapter

0.4.1.1 Read "How to Write a PRP Chapter" [link:] for guidance on drafting to establish new chapter or to revise any PRP chapter.

0.4.1.2 Any employee who is proposing to establish a new or revise PRP chapter, prepares a draft and submits that to relevant Designated University Officer[Link.0.3.1], and obtains agreement from him/her. The Designated University Officer consults and discusses with other department(s) and obtains consent on the draft, in the case that the establishment or revision contains other Designated University Officer's assignment.

0.4.1.3 Any employee who is proposing to establish a new or revise PRP chapter, submits the draft, which is admitted by the Designated University Officer(s), to the Rules and Procedures Section, and modifies the draft as necessary responding to the review.

0.4.1.4 Any employee who is proposing to establish a new or revise PRP chapter, creates the Document for Approval Process (kessai) attached the draft admitted by the Designated University Officer(s) and Rules and Procedures Section, and obtains approvals from the COO, and any other relevant department's heads.

0.4.1.5 Any employee who is proposing to establish a new or revise PRP chapter, informs establishment and revisions of PRP chapter under the instruction of the Designated University Officer.

0.4.2 **Procedures to establish new or to revise the Regulation**

0.4.2.1 Any employee who is proposing to establish a new or revise the Regulations, prepares and submits the draft to the Designated University Officer, who are in charge of the department responsible for the assignment relevant to the Regulations, and obtains consent from him/her. The Designated University Officer consults and discusses with the other department and obtains consent on the draft, in the case that the establishment or revision contains other Designated University Officer's assignment.

0.4.2.2 Any officers and employees who is proposing to establish a new or revise the Regulation, submits the draft, which is admitted by the Designated University Officer(s), to the Rules and Procedures Section, and modifies the draft as necessary responding to the review.

0.4.2.3 Any officers and employees who is proposing to establish a new or revise the Regulation, creates the Document for Approval Process (kessai) attached the draft admitted by the Designated University Officer(s) and the Rules and Procedures Section, and obtains approvals from the Designated University Officer, COO, and any other relevant department's heads.

0.4.2.4 Any officers and employees who are proposing to establish a new or revise the Regulation, informs establishment and revisions under the instruction of the Designated University Officer.

0.4.3 PRP Review Committee

0.4.3.1 School Corporation set the PRP Review Committee to review and approve PRP changes ,and ensure the consistency as a whole, and maintain the mission and policies of School Corporation.

0.4.3.2 Details of PRP Review Committee is specified separately by the COO [link;].

0.5 **Contacts**

0.5.1 **Owner**:
COO

0.5.2 **Other Contacts**:
Rules and Procedures Section rules@oist.jp

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The University reserves the right to augment, revise, add and delete Policies, Rules and Procedures Chapters at any time.

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Authority:
- Approved by the President
- OIST School Corporation Act

Chapter 1. WHO WE ARE:
Founding and Governing Principles

1.1 FOUNDING OF THE OIST GRADUATE UNIVERSITY

The Okinawa Institute of Science and Technology Promotion Corporation (OIST PC) was established on September 1, 2005, pursuant to the Independent Administrative Institution Okinawa Institute of Science and Technology Promotion Corporation Act (Act No. 26 of 2005), in order to prepare the way for an international graduate university (the University) dedicated to science and technology. Following the successful establishment and operation of OIST PC, the OIST School Corporation Act (Act No. 76 of 2009) was enacted to provide the institutional basis for the University and to establish a framework for transitioning from a research institute to a fully functioning graduate university.

The express objectives of the OIST School Corporation (OIST SC) are to conduct outstanding international research and education in science and technology, and by this means to:

~contribute to the sustainable development of Okinawa; and
~to advance science and technology in Japan and the rest of the world.

1.1.1 OBJECTIVES OF THE OIST GRADUATE UNIVERSITY

The founding documents established five central concepts to guide the University:

Best in the World - Be a leading center for education and research, which requires a culture where creativity, uniqueness, and diversity are encouraged.

International – Aim that more than half of the faculty and students will be non-Japanese and that English, as the international language of science and technology, will be the University's official language.

Flexible – Encourage innovation, creativity, and adaptability (academically and administratively), accommodate new initiatives, establish an interdisciplinary academic structure, and treat every student as a unique individual.

Global Networking – Increase research and education opportunities and enhance the visibility of the University through

hosting, attending at and participating in international meetings, conferences, workshops, collaborations, and the like.

Collaboration with Industry – Recognize that the research outcomes generated by the University's research in science and technology may be developed and applied by industry for the benefit of society in general as well as to facilitate sustainable development of Okinawa and the competitiveness of Japan.

1.1.2 SCHOOL CORPORATION & UNIVERSITY MANAGEMENT STRUCTURE

In keeping with the mandate of the OIST School Corporation Act, OIST SC and the University present a unified management structure:

The ultimate authority and responsibility for the management and operation of the OIST SC is vested in its Board of Governors (BOG). The BOG selects a Chief Executive Officer (CEO) for OIST SC, and the CEO also serves as the President of the University. The BOG entrusts the day-to-day management of the University to the President. Additionally, the BOG appoints the Senior Level Executive, who is also the Vice-CEO.

The President, in consultation with the BOG, establishes a management structure for the University, a structure which is to be an efficient and effective vehicle for operating a distinguished international graduate university and which will ensure transparency and accountability in its administrative and fiscal operations.

1.2 MISSION STATEMENT

The University shall conduct internationally outstanding education and research in science and technology, and thus contribute to the sustainable development of Okinawa, and promote and sustain the advancement of science and technology in Japan and throughout the world.

1.3 CORE VALUES

Integrity, honesty, fairness, respect for others, and dedication to the OIST mission are the values that inform the activities and behaviors of individuals working for, or asserting an affiliation with, the University. The University promotes diversity and provides equal opportunities for all community members without regard for race, color, religion, national origin, ancestry, physical or mental disability, medical condition, marital status, gender, sexual orientation, or age.

In addition, the University operates within the principles established by the following policies:

1.3.1 OPENNESS IN RESEARCH

The University's central functions of teaching, learning, researching, and publishing depend upon an atmosphere in which freedom of inquiry, thought, expression, scholarship and peaceable assembly are given full protection and support. Therefore, it is University policy that expression of the widest range of viewpoints is to be encouraged within the University.

In order to support the open and free exchange of ideas, the University as a matter of policy also encourages participation in the research enterprise by a diverse body of highly qualified individuals. Except in extraordinary circumstances as determined by the President [link: 2.4.1], participation in University research by otherwise qualified individuals will not be limited by citizenship, nationality, or ethnicity. Similarly, participants in University research shall not be denied access - based on citizenship, nationality, or ethnicity - to the intellectually significant portions of their research.

Additionally, because the University's research is intended for dissemination within the interested scientific community and throughout the world, only time-limited publication and disclosure restrictions based on contractual and/or legal obligations, such as those required for purposes of peer review and patentability review, may be imposed on the research.

1.3.2 RESPECTFUL WORKPLACE

OIST Graduate University Respectful Workplace Policy

The University is committed to providing a work environment that promotes education, research, and productivity through working relationships based on respectful communication. This commitment calls for a workplace where the following core values are upheld:

1. Everyone at OIST without exception has an important contribution to make toward the overall success of the University's mission.
2. This mission will be carried out in an atmosphere where all employees, in all types of jobs, value each other and treat each

other with respect. Communication between employees should be polite at all times. This will be true even in situations of high pressure and urgency.

3. Diversity among employees is celebrated at OIST and employees must at all times exercise tolerance and respect for cultural, gender, ethnic and other differences. Special consideration should be given to those employees with physical or mental impairment.
4. Managers, supervisors and others in positions of authority should consider themselves as role models in the promotion of these core values, without in any way abdicating their responsibility to direct their employees to perform work effectively.
5. In the same spirit, employees, irrespective of their job title, are encouraged to discuss issues of concern without fear that those discussions will result in negative treatment or punitive consequences from any other employee of the University.
6. To promote mutual understanding and avoid unnecessary conflicts, an atmosphere where native English speakers are considerate of non-native speakers, and vice versa, is expected so that no language-related barrier restricts employees from participating in discussions or in asking questions.
7. In response to staff input, the University will make reasonable changes to improve the work environment and productivity at OIST.

1.3.3 COMMITMENT TO STUDENTS

The University's PhD program is at the heart of the University, and its participants are selected from the very best science and technology graduate students in the world. The University is committed to their success, both while in the thesis program and beyond. During their graduate training at the University, each student will work closely with world-class faculty pursuing unique, highly individualized programs of study in modern well-equipped laboratories. The University's international composition and interdisciplinary approach has been expressly designed to spark exploration, creativity, discussion and innovation, in order to assure that our students will advance the cutting edge of research in science and technology. By providing excellent conditions for thesis research (including good practical support for living and thriving in Okinawa), the University advances the goals of its

students and encourages them to become tomorrow's leaders.

1.4 UNIVERSITY CODE OF CONDUCT

The Code of Conduct (Code) is a statement of our shared and mutual commitment to upholding ethical, professional and legal standards in conducting our lives and making decisions within the University community. The University values integrity, honesty, fairness, diversity, respect for others, and equality of opportunity; it strives to assure that no activity of the University undermines fundamental principles of human dignity. As members of the University community, all faculty, staff, students, University officers, members of the Board of Governors, and all University affiliates and volunteers are responsible for maintaining and demonstrating these values and for observing the ethical standards of both the University and the broader community in which it operates. The values contained in this Code of Conduct must be integral elements of the University's educational, research and business practices. Each of us also must be cognizant of, and comply with, the relevant external policies, standards, laws and regulations that pertain to our activities.

1.4.1 APPLICABILITY

The University's Code applies to the following members of the University community:

~ Those who are paid by the University when they are working for the University, including faculty, staff, researchers and students;

~ Those doing business with the University, such as consultants, vendors, and contractors;

~ Those who perform services for the University as volunteers; and

~ Those who assert an association with the University (such as alumni).

1.4.2 BUSINESS TRANSACTIONS & OTHER ACTIVITIES

Members of the community must transact University business in compliance with applicable laws, regulations, and University policies, rules, and procedures. Business transactions and other activities within the University may not always be subject to specific laws, regulations, or codes of ethics. In these instances, our core values will govern. The fact that a particular business or other practice is common, customary, or expedient will not justify its use at the University if that practice conflicts with the core values of the University or any other the requirements of the Code.

1.4.3 PROTECTION OF INFORMATION

Community members receive and generate on behalf of the University various types of confidential, proprietary, and private information. It is imperative that each member of the University community understands and complies with Japanese law concerning access to and disclosure of various types of information. In addition, each member of the University community must comply with disclosure/nondisclosure agreements with third parties, and with University policies, rules and procedures [link: 12] pertaining to the use, protection and disclosure of such information. Be aware that, in some cases, these rules and procedures may continue to apply even after a person's relationship with the University has ended.

1.4.4 CONFLICT OF INTEREST/CONFLICT OF COMMITMENT

Members of the University community who serve as faculty or staff owe their primary professional allegiance to the University and its mission. Outside professional activities, private financial interests, or the receipt of benefits from third parties can cause an actual or perceived divergence between an individual's private interests and the duty of allegiance to the University.

To help prevent such a potential conflict of interest or commitment (including the appearance of a conflict) from arising, faculty and staff who have other professional or financial interests shall disclose them in compliance with applicable conflict of interest/conflict of commitment policies and procedures set out in the Policies, Rules and Procedures Library at Chapter 22, Avoiding Conflicts of Interest & Commitment. [link: 22].

Authority:
- Approved by the President
- OIST School Corporation Act
- Private School Act
- School Education Act

Chapter 2. Governance and Organization

2.1 Official University Name

In accordance with Chapter II, Article 4, of the Bylaws of the Okinawa Institute of Science and Technology School Corporation ("the Corporation" or "SC"), the name of this graduate educational institution is

Okinawa Institute of Science & Technology Graduate University
(sometimes referred to as "OIST Graduate University" or "the University").

All its academic activities shall be transacted, and all written academic instruments must be executed, in this official university name by its authorized officers and agents and authenticated, when necessary, by affixing the seal bearing the name Okinawa Institute of Science & Technology Graduate University [link: 2.7]. All business agreements, contracts, and other legally binding transactions required for OIST Graduate University must be executed in the official corporate name of the Okinawa Institute of Science and Technology School Corporation.

2.1.1 **OIST School Corporation and OIST Graduate University, through the Board of Governors, reserve to themselves authority to approve**:

2.1.1.1 Use, and revocation of the use, of the official corporate or university name or any abbreviated name by any non-University person or entity as part of its name or in any other manner that indicates or implies an authorized relationship with the University.

2.1.1.2 Removal of the official university name or any abbreviated name from the name of any organizational unit of the University.

2.1.1.3 Use of the official corporate or university name in a manner other than that prescribed in administrative policy.

2.1.2. **Gifts, Bequests, Donations or Devises** [link: 7].

All gifts, bequests, contributions, donations and devises made in trust or otherwise in the name of the University or any abbreviated name, or in the name of any unit of the University, shall be transfers to the Okinawa Institute of Science & Technology School Corporation. The Okinawa Institute of Science & Technology School Corporation has the authority to manage all transfers intended for the corporation.

2.1.3 **University Marks** [link: 15]. The University shall maintain a consistent visual identity system, including name, marks, and logos, that (a) reinforces and protects the University's identity; (b) distinguishes the University from other institutions; and (c) reflects the University's traditions and heritage.

2.1.3.1 The President or delegate shall maintain administrative policies and procedures to implement this policy.

2.2 Board of Governors

The ultimate authority and responsibility for the management and operation of the OIST School Corporation lies with the Board of Governors ("BOG"). The BOG appoints a President for the OIST Graduate University. The President of the University serves as the CEO of the Corporation, pursuant to the SC Bylaws. The BOG appoints the Senior Level Executive who serves as the Vice-CEO of the Corporation, in accordance with the SC Bylaws. [link: https://groups.oist.jp/sites/default/files/imce/u113/oistsc_bylaws.pdf]. The SC Bylaws and the Rules for the Operation of the Board of Governors [link:] specify the purpose and activities of, and topics to be decided by the BOG. In general, the matters to be decided by the BOG concern management and operation of the School Corporation and the University. In particular, the BOG is required each fiscal year to review and approve the annual budget and business plan for the Corporation, which will have been prepared by the CEO/President, Vice-CEO, Executive Vice President for Technology Development and Innovation, Provost, Chief Operating Officer (COO), and Vice-Presidents in consultation with University faculty and staff. In all of its endeavors, the subjects to be deliberated may be accompanied by reports/opinions of the Board of Councilors.

2.2.1

The Board of Governors has an Office of the BOG. Secretary to the BOG acts as the Secretariat and works for the Chair of the BOG with the responsibilities for preparing agendas and papers for meetings, serving sub-Committees created by the BOG, managing the affairs of the BOG, and coordinating the activities with the Senior Level Executives and Faculty Council.

2.3 Board of Councilors.

The Board of Councilors ("BOC") must prepare opinions on specified matters (such as budgets, borrowing, disposal of assets, donations, changes to the Bylaws) and submit them to the Corporation CEO before meetings of the BOG to make decisions on the matters. The BOC also responds to inquiries from Governors, provides opinions to Governors, and solicits reports from Governors, regarding the state of the School Corporation's operations and assets.

2.4 Roles and Responsibilities

The ultimate authority and responsibility for the management and operation of the OIST School Corporation (SC) lies with the Board of Governors (BOG).

2.4.1 President/CEO

The Board of Governors selects a President for the OIST Graduate University; the President also serves as the Chief Executive Officer (CEO) for the School Corporation. The President, in consultation with the BOG, establishes a management structure for the University. That structure must effectively and efficiently facilitate the development, maintenance, operation, and growth of a renowned international graduate university that promotes outstanding achievement in science and technology through education and research and contributes to the self-sustaining development of Okinawa. The management structure must also ensure administrative and fiscal accountability and provide transparent oversight regarding use of government and private funds.

The BOG entrusts the day-to-day operations of the School Corporation and the Graduate University to the CEO/President, including

- management of the University and all its departments, operation of the physical plant, and administration of the University's business activities;
- preparation of annual University operating and other budgets, which must be submitted to the BOG for review and subsequent action; and
- preparation and submission of periodic plans and reports to the BOG on the status of plans and projections and various other reports as needed.

One Senior Level Executive who is appointed by BOG; by the provision of the SC Bylaws, also serves as the Vice-CEO of the School Corporation. The President may appoint, and prescribe the powers and duties of, other officers and employees that the President may deem appropriate to assist in the performance of Presidential duties and responsibilities.

The President is further responsible, directly or by delegation, for

establishing and maintaining administrative policies and procedures to assure the carrying out of these responsibilities.

2.4.1.1 **Special Advisor to the President**

The Special Advisor to the President offers opinions and advice in regard to the administration of the University upon the President's request.

2.4.1.2 **General Counsel**

The General Counsel provides legal opinions and advice in regard to the University's policies/business, risk managements, conflicts/disputes cases and contracts related matters and represents the University in legal matters concerning external entities.

2.4.1.3 **Chief Information Officer (CIO)**

The Chief Information Officer (CIO) is responsible for [link: 17.4.7] promoting coherence and efficiency through university wide information technology (IT) strategy, and information security programs. The CIO is also responsible for conducing special programs or information related initiatives at the discretion of the President.

2.4.1.4 **Chief Compliance Officer (CCO)**

The Chief Compliance Officer (CCO) conducts the audit based on the annual audit plan or on a temporary basis. The CCO reports those results to the CEO/President.

2.4.2 **Vice-CEO**

The President nominates, and the Board of Governors appoints, the Senior Level Executive who also serves as the Vice-CEO of the School Corporation.

The Vice-CEO shall support the duties of the CEO or perform the duties of the CEO by proxy in the event that he/she is indisposed or absent. For long-term incapacity or absence of the CEO, the Board of Governors may appoint an Acting CEO from the Governors in accordance with Paragraph 2 of the Article 13 of SC Bylaws.

2.4.3 **The Executive Vice President for Technology Development and Innovation**

The Executive Vice President for Technology Development and Innovation administers the functions that support the University mission to further the self sustaining development of Okinawa. Key elements of

this mission are management of intellectual property, technology transfer and business development.

2.4.3.1 Associate Vice President for Technology Development and Innovation

The Executive Vice President for Technology Development and Innovation may have the Associate Vice President for Technology Development and Innovation conduct the duties in part.

2.4.4 Auditors

Auditors of the School Corporation (SC) are nominated by the BOG from among individuals who are not Governors, not employees of the University and not Councilors; the BOC must concur in the nomination, and the CEO must appoint the Auditors. The appointment becomes effective only upon approval by the Prime Minister. Auditors are responsible for auditing SC operations and asset condition, and for reporting on these matters to the BOG and the BOC following the close of each fiscal year. Auditors attend BOG meetings and express opinions on the SC's operations and asset condition. If, as a result of their audits, Auditors discover violations of bylaws or illicit activities concerning the SC's operations or assets, they must report these discoveries to the BOG, among others.

2.4.5 Vice Presidents

The following university officers serve as Vice Presidents (including Deans) of the University as represented in the University Organization Chart in 2.5 below. Each Vice President is assigned an annual budget, with full authority to administer the budget for which they are held responsible by the President.

2.4.5.1 Dean of the Graduate School

The Dean of the Graduate School (DGS) is responsible for providing services and programs that support the full cycle of attending the Graduate School at OIST Graduate University. Thus the Dean of the Graduate School is responsible for all elements of planning and support that start with admission and end with graduation and the initial post-graduate placement. The Dean of the Graduate School is responsible for all aspects of the graduate school curriculum including the assignment of faculty to teach the graduate courses.

2.4.5.1.1 Vice Dean of the Graduate School

The DGS may delegate duties to Vice Dean.

2.4.5.2 Dean of Faculty Affairs

The Dean of Faculty Affairs (DFA) is responsible for administration of general matters concerning the faculty as described in detail in the Faculty Handbook [link: PRP Chapter 3], including:

- Faculty search and appointments
- Administration of research unit reviews, tenure reviews, and promotion of the Faculty
- Management of leaves of absence, sabbatical leaves, and salary setting of the Faculty
- Appointment of non-faculty researchers
- Appointment and evaluation of Research Unit Technicians and Research Unit Administrators
- Administrative support for the operation of the Faculty Assembly and the Faculty Council
- Maintenance of Faculty Handbook (PRP Chapter 3) and related Handbooks
- Faculty Development
- Career development of non-faculty researchers
- Appointments and administrative support for Dean's Research Group

The Dean of Faculty Affairs is also responsible for the operation of the University Library and Institutional Repository, the appointments and development of postdoctoral careers, and the appointments and administrative support for the Science and Technology Group(STG).

2.4.5.2.1 **Vice Dean of Faculty Affairs**

The DFA may have the Vice Dean of Faculty Affairs conduct the duties in part.

2.4.5.3 **<Delete>**

2.4.5.4 **Vice President for Financial Management**

The Vice President for Financial Management (VPF) is responsible for all aspects of the University budgets and the accounting against such budgets. The VPF is responsible for procurement, which includes tenders, routine procurements and internal supply lines.

2.4.5.5 **Vice President for Buildings and Facilities Management**

The Vice President for Buildings and Facilities Management (VPBFM) is responsible for all aspects of new construction, from the planning through procurement, to contract management, to physical constructions and completion of the facility. The VPBFM is

responsible for all aspects of building, facility and site maintenance, including modifications made to University buildings.

2.4.5.6 **Vice President for Communication and Public Relations**

The Vice President for Communication and Public Relations (VPCPR) is responsible for public relations in its broadest sense, be it interactions with local, Okinawan, national, or global communities. The VPCPR is responsible for all aspects of media and press. The VPCPR is responsible for the logistics of University events, including workshops, symposia, colloquia, celebrations, and public events.

2.4.5.6.1 **Associate Vice President for Communication and Public Relations**

The VPCPR may have the Associate Vice President for Communication and Public Relations (AVPCPR) conduct the duties in part.

2.4.5.7 **Dean of Research**

The Dean of Research is responsible for the direct research funding (subsidy, grant, donor and other) that is administered by the individual research units and other research entities, Research Support Services with Core facilities, Research Safety, Grant applications and management (excluding the grants managed by the Executive Vice President) and overall research support functions required for research activities. The Dean of Research is also responsible for OIST Clinic and Health Center.

2.4.5.7.1 **Assistant Dean for Administration**

The Dean of Research may have the Assistant Dean for Administration conduct the duties in part.

2.4.5.8 **Vice President for Gender Equality and Human Resource Development**

The Vice President for Gender Equality and Human Resource Development (VPGEHR) is responsible for overall management of Employee Relations, Diversity and Welfare, Training and Education, HR Management and HR Recruiting Support, to enhance productivity of the diverse workforce and to improve work-life balance at OIST.

2.4.5.8.1 **Associate Vice President for Human Resources**

The VPGEHR may have The Associate Vice President for Human Resources (AVPHR) conduct the duties in part.

2.4.5.9 **Vice President for Information Technology**

The Vice President for Information Technology (VPIT) is responsible for ensuring that IT services are appropriately architected, implemented and maintained. The VPIT is responsible for ensuring IT remains engaged with all areas of the University, and that IT services are developed to support the programs and policies set by the CIO.

2.4.6 **Provost and Chief Operating Officer (COO)**

2.4.6.1 **Provost**

The Provost is in charge of interdepartmental coordination between the Dean of Graduate School, the Dean of Faculty Affairs and the Dean of Research in terms of academic affairs.

The Provost shall represent the University for academic and research matters and develop a network with other universities and research institutions.

2.4.6.2 **Chief Operating Officer (COO)**

The Chief Operating Officer (COO) shall assist the President and serve as the final authority on all administrative matters. COO oversees all administrative functions, including financial management, human resources, facility management, information technology. COO is also responsible for health & safety, and risk management.

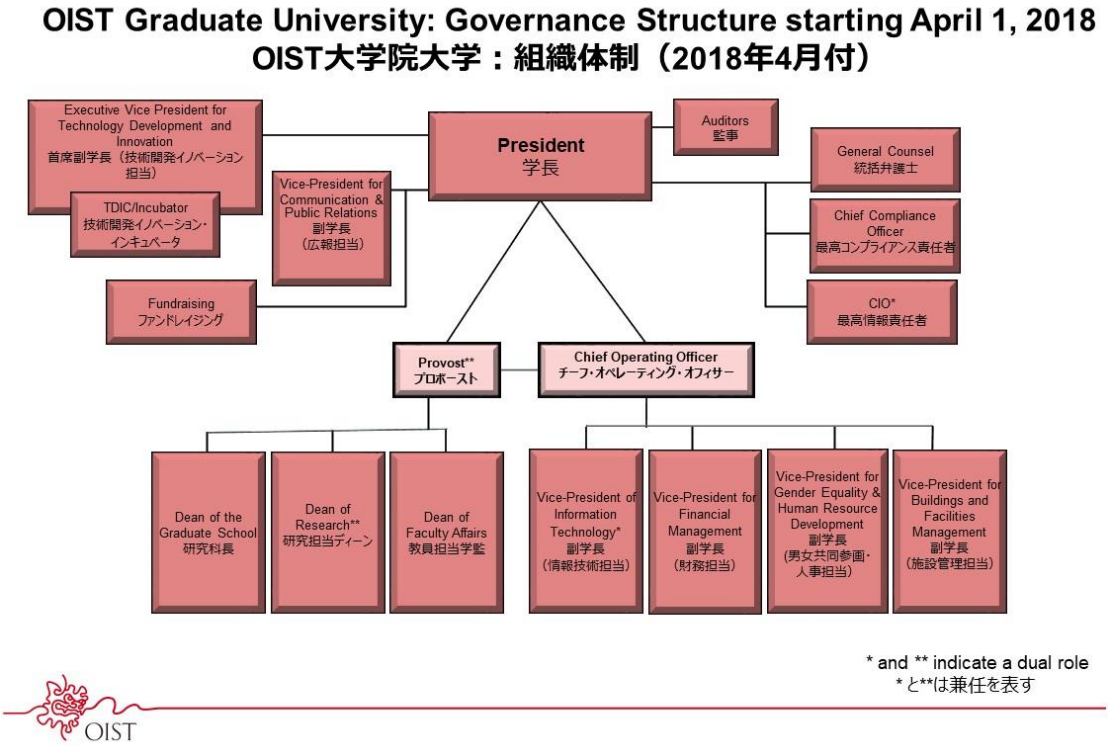
2.4.6.2.1 **Associate Vice President for Administrative Compliance**

The COO may have the Associate Vice President for Administrative Compliance (AVPAC) conduct the duties in part of governmental relations, rules and procedures, compliance, and risk management.

2.4.7 **Committees**

The University may rely upon committees, standing and *ad hoc*, internal and external, whenever needed to assist in the carrying out of various functions or to provide advice regarding selected topics. Whatever their purpose, such committees must conform to the University's "Terms of Reference" [link: "Terms of Reference" at end of Chapter] regarding formation, composition and organization of committees. Details concerning the payment of honoraria and other expenses for external committee members may be found in Chapter 26, Finance & Accounting, Appendices [link: 26.9].

2.5 Organization Chart



2.5.1 Detailed Charts

The CEO/President, the Vice-CEO, Executive Vice President for Technology Development and Innovation, Provost, COO and the Vice Presidents are responsible for developing more detailed organization charts for those units that they head. Those detailed organization charts [link] shall be approved by the CEO/President and internally published with a description regarding responsibilities and duties of each group/section/units.

2.5.2 Reorganization of the Structure

When the organization of OIST is to be restructured, the proposal of the new structure shall be approved with kessai by the CEO/President 14 days prior to the effective date.

2.6 CEO/President's Delegation of Authority

As authorized by the Board of Governors, the President/CEO may delegate executive management and administrative authority to the University's Senior Level Executives. The CEO/President's delegations of authority authorize the Senior Level Executives to act on behalf of the Corporation/University in the name of the CEO/President and to bind the Corporation/University within the scope of the delegated authority to a legally enforceable obligation. The CEO/President may condition, limit, or revoke any authorities so delegated at

any time. Authority reserved by the CEO/President may not be exercised by any other person.

Delegation of authority does not permit those so privileged to violate spending or signature thresholds established by the CEO/President for fiscal and administrative control.

2.6.1 **Sub-Delegations of the CEO/President's Authority.**

Senior Executives who have authorities delegated to them by the CEO/President may, but need not, sub-delegate authorities to employees who report to them and so on throughout the organization. The Senior Executives are ultimately responsible and accountable for the proper sub-delegation of the CEO/President's authorities throughout their units, in accordance with this policy. For purposes of this Chapter, the person who delegates authority to others is a "Delegating Official" and the person who receives a delegation of authority is a "Delegate."

2.6.2 **Responsibilities of Delegates**

2.6.2.1 Delegates may further delegate any delegated authority if it is not expressly disallowed or limited in any way. However, unless further delegation is required, delegates may reserve to themselves any authority delegated to them.

2.6.2.2 Delegates below the level of Vice President must obtain approval from the Delegating Official in order to sub-delegate any authority delegated to them.

2.6.2.3 Delegates may not delegate greater responsibility and decision-making authority than they have been delegated, and may not delegate authority to anyone who has an individual or institutional conflict of interest related to that authority, as defined by University policy [link: 22].

2.6.2.4 Employees with delegated authority must act only within the scope of that delegation. Employees who act outside the scope of their authority and do not have documented authority to do so may be subject to disciplinary action, up to and including termination.

2.6.2.5 Delegates remain responsible and accountable at all times for the exercise of any authority they choose to sub-delegate to others.

2.6.3 **Requirements for Delegation**

2.6.3.1 Delegated authority must be granted and exercised consistent with the terms and conditions of the original delegation and with all applicable laws and University policies.

2.6.3.2 Delegating Officials must delegate authority only to persons who are current University employees, who have some level of responsibility for the activity being conducted, who are knowledgeable about University policies, rules, laws, regulations and procedures, and over whom the Delegating Official has management authority. All delegations become null and void upon the last date of employment.

2.6.3.3 Delegating Officials must provide copies of their delegations of authority (new or revised) to the COO and to the General Counsel.

2.6.3.4 For annual budget authority, a delegation of authority is deemed complete once the budget is allocated on the ERP system. Any other delegation of authority must be made in writing.

2.6.3.5 Delegating Officials must retain documentation of all of their delegations, and review those delegations at least annually, via the performance evaluation process, to ensure they are up-to-date and appropriate. This documentation must be made available upon request.

2.6.4. **Ambiguities involving Delegations of Authority**. In the event that there is an ambiguity or an inconsistency involving delegation assignments, the CEO/President or his/her delegate will determine who has the ultimate authority.

2.7 Use & Management of Seals

2.7.1 **Official Seals** – The Official Seals are the seals to signify authenticity of contracts, agreements, and other official documents of the Corporation or the University by affixing their seal impressions, and their use is limited to that purpose. Typical examples include the official seals of;

- OIST School Corporation
- CEO of OIST School Corporation
- OIST Graduate University
- President of OIST Graduate University

In addition, official seals for internal organizations or their heads may be

developed as necessary.

2.7.2 **Production and Custody** – Any of University/Corporation's official seal shall be produced by the COO and registered in a registry (Official Seal Registry) developed and maintained by the COO. The seals are in the custody of the COO or the officials that are registered in the Official Seal Registry with an approval of the COO. Any official seals shall be kept with utmost care in accordance with the guidelines [link] developed by the COO.

2.7.3 **Use of Seals** – Official seals shall be affixed by an employee registered in the registry only after carefully confirming the documents are authorized by the President/CEO or the authorized delegate.

> 2.7.3.1 Copy of Seal Impression – With a prior approval by the COO, the impression of official seals may be copied or electronically inserted, when issuing standardized documents, such as ID cards and certifications or issuing a large number of documents with the same contents.
>
> 2.7.3.2 Signatures – When making a document written only in English and used in business transactions, such as making contracts or agreements, with entities outside of Japan, a signature may be used to verify the authenticity of the document in substitution for official seals.

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 of 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 of 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 appointments, adjunct faculty appointments may be made to fill special needs that cannot be filled at the time with a full-time appointment. Adjunct appointments may be made in connection with collaborative research project or external research project. Adjunct appointments also may be made during transition periods for incoming professors before they can begin full-time work at OIST,

and for outgoing professors to complete ongoing research and educational supervision.
Appointments of Adjunct faculty at OIST are exceptional. They do not constitute a customary or required element of the faculty. The total number of Adjunct appointments should not exceed ~10% of the full-time faculty, excluding those in transition. Adjunct appointments are for a fixed term not exceeding five years and in general under a non-employee relationship, not exceeding 25%-time commitment. Adjunct faculty members will have research units with reduced resources in proportion to the scale of their appointment. Adjunct Faculty are eligible to and encouraged to seek additional, external funding.

An appointment of an Adjunct Professor may be proposed by the President, the Deans, or the Chair of the Faculty Assembly. Upon approval by the President, a Search Committee is formed and a recruiting process is initiated.

The approved candidate consults with the Dean of the Graduate School and the Dean of Faculty Affairs to prepare a plan for research, teaching, and academic service with appropriate scope and content. The application will be reviewed according to standard procedures described in PRP 3.2.4. The criteria for appointment are described in PRP 3.2.4.3(d). Based on the recommendation of the Search Committee, the President makes a final decision on the appointment. With approval of the President, Adjunct appointments may be renewed.

Review of Adjunct faculty units will follow the standard unit review process [link: PRP 3.2.4.5] and will be completed by the end of the penultimate year of the appointment.

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.

The definition of Emeritus Professor is stipulated in 3.3.1.

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.

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 and the Curriculum and Examinations Committee, 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 Postdoctoral Scholars, 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-N001-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.

3.2.3.1 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.

3.2.4 Recruitment and New Appointment

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 Faculty Search Committee Handbook.

The entire appointment 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

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 New Appointment

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 untenured faculty colleagues for internal research funding on a 5-year cycle.

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

a) **Process of Determining Rank and Tenure Status at New Appointment**

Appointments follow a rigorous process of evaluation and recommendation from among the following ranks,

- Assistant Professor is an untenured position.
- Associate Professor is an untenured position at initial appointment in general, but under exceptional circumstances can be made with tenure.
- Professor is normally the position denoting tenure, although there may be some situations where this is not the case, such as when the individual is beyond the retirement age.

b) **Structure and Membership of the Faculty Search Committee**

The Faculty Search Committee is responsible for gathering data on scholarship, teaching, and other relevant matters. The Faculty Search Committee will comprise three to five members of the Faculty Assembly. The Dean of Faculty Affairs will appoint Faculty Search Committee members and the Chair. Faculty Search Committees may include external members, but the Chair should be from the Faculty Assembly. Members of the Senior Level Executives should not normally be members of Faculty Search Committees.

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

c) **Criteria for New 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.

The Faculty Search Committee will select candidates considered for possible appointment. The Faculty Search Committee will solicit advice from external advisor(s) about standing of the chosen candidates, and suggest external reviewers (letter writers) who will write letters for the candidates. Letters from external reviewers (letter writers) are essential for an objective process and, in general, carry more weight than letters from reviewers of candidate's choice. The

Faculty Search Committee aims to collect 4 letters from external reviewers (letter writers) for appointment at the untenured level and 8 letters from external reviewers (letter writers) for tenure appointments, within 2 months from the initial request for the letters. If 25% of the letters at this point recommend non-appointment, it will require some other justification to make the recommendation to appoint. The external reviewers (letter writers) should neither be co-authors, mentors nor close working colleagues of the candidate. When soliciting the opinion of internal or external reviewers (letter writers), the Faculty Search Committee should use the sample letters of request from the Faculty 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 external reviewers (letter writers) 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 Faculty Search Committee must assess whether the candidate has the potential to be a qualified 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 Faculty Search Committee will be a file containing the Appointment Papers and a cover letter from the Chair submitted to the President, after review by the Appointment and Promotion Committee as described in the Faculty Search Committee Handbook, through the Dean of Faculty Affairs.

When a Faculty Search Committee process results in a positive recommendation for tenured appointments, there will be the following levels of review that are required in order to achieve ratification. Taken in order they are:

1) Review by the President.
2) If the President agrees with the recommendation by the Faculty Search Committee, the file, accompanied by a letter from the President, goes to the Board of Governors for final approval.
3) If the President disagrees with the Committee recommendation, the President will discuss how to resolve the disagreement with the Committee. He/She may convene a separate assessment for own use if necessary.

When a Faculty Search Committee process results in a positive recommendation for untenured appointments, there will be the

following levels of review that are required in order to achieve ratification. Taken in order they are:

1) Review by the President.
2) If the President agrees with the recommendation by the Faculty Search Committee, he/she reports to the Board of Governors.
3) If the President disagrees with the Committee recommendation, the President will discuss how to resolve the disagreement with the Committee. He/She may convene a separate assessment for own use if necessary.

3.2.5 Faculty Evaluation

Evaluations (Promotions Review and Tenure Review) follow a rigorous process of evaluation, recommendation and review. The procedures are described in the Promotion Review Evaluation Committee (PREC) Handbook and Tenure Review Evaluation Committee (TREC) Handbook, respectively.

The entire Promotion Review and Tenure Review 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.

3.2.5.1.1 Promotion Review (Applicable to tenured Associate Professors)

Associate Professor appointed with tenure will be reviewed for promotion to Professor during Year 4 after tenure appointment. Early review will be permitted in exceptional circumstances.

a) **Structure and Membership of Promotion Review Evaluation Committee (PREC)**

For a promotion review, the evaluation and recommendation phase is carried out by a Promotion Review Evaluation Committee (PREC).

The PREC will comprise three to five members of the Faculty Assembly. The Dean of Faculty Affairs will appoint PREC members and the Chair. The PREC may include external advisors, but the Chair should be from the Faculty Assembly. Details are described in the corresponding PREC Handbook.

The PREC is a non-standing committee that is established independently for each individual action. In evaluation, substantial input from external reviewers (letter writers) is required and the external reviewer (letter writer) input carries the most weight with regard to the final evaluation.

b) **Outline of Promotion Review**

The PREC has the responsibility for gathering data on scholarship, teaching, service and other relevant matters.

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 a PREC member should be clearly disclosed in the cover letter from the Chair.

Letters from external reviewers (letter writers) are essential for an objective evaluation process and, in general, carry more weight than letters from reviewers of candidate's choice. The PREC aims to collect 6 letters from external reviewers (letter writers) within 2 months from the initial request of the letters. If 25% of the letters at this point recommend non-promotion, the case needs to be carefully reconsidered. The external reviewers (letter writers) should neither be co-authors, mentors nor close working colleagues of the candidate. When soliciting the opinion of external reviewers (letter writers), the PREC should draft the letter requesting the evaluation based on the template in the PREC Handbook.

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

c) **Criteria for Promotion**

The criteria for promotion concern the performance in scholarship, teaching and service while at OIST.

Scholarship: The first criterion for promotion is that the individual's scholarship and research ranks among the top 5 or 10 percent in their world-wide cohort at his or her level of professional development for the proposed promotion level. The appraisal of the scholarship will be based on the letters received from the external reviewers (letter writers), and on the quality of the three nominated papers for review, and their impact and originality. Letters from external reviewers (letter writers) should support this assessment in an unequivocal fashion.

Teaching and mentoring: The second criterion for promotion is a record of high quality teaching that clearly establishes that the candidate can plan and sustain a quality teaching program. The appraisal of teaching performance will be based mainly on the experience at OIST. Teaching is defined to include the classroom and laboratory, as well as advising, mentoring, program building, and curricular development. In evaluating teaching, testimonials from students, postdoctoral scholars and OIST faculty will be important. As part of the CV and Academic Service Record, the candidate can provide relevant, yet objective, feedback from students attending courses presented by the candidate, and/or examples of mentoring

practice. The Dean of the Graduate School and others may be consulted for an appraisal.

Academic Service: Supporting the University in its widest sense through committees and other service work, and the international scientific community through, for example, service on conference organizing committees, editorial boards and peer review committees is an important part of the academic duties. The Dean of Research, the Dean of Faculty Affairs and others (for example, Committee Chairs) may be consulted for an appraisal.

There is no fixed weighting of these aspects. However, excellence in scholarship and teaching is required, and the performance in service work must be, at least, assessed as good. It will not be possible to be promoted if the performance in either teaching or service work is unsatisfactory.

d) **Process after Promotion Review**

The PREC recommendation will be a file containing Promotion Review papers and a cover letter from the Chair of the PREC, submitted to the President, after review by the Appointment and Promotion Committee as described in the PREC Handbook, through the Dean of Faculty Affairs.

A positive recommendation from the PREC will proceed through the following levels of review. Taken in order, these are:

1) Review by the President
2) If the President agrees with the PREC recommendation, the file, accompanied by a letter from the President, goes to the Board of Governors for final approval.
3) If the President disagrees with the PREC recommendation, the President will discuss how to resolve the disagreement with the PREC. He/She may convene a separate assessment for own use if necessary.

A negative PREC recommendation with which the President concurs, will be sent to the candidate, and will also be reported to the Board of Governors.

No review for promotion will be undertaken for at least 3 years.

3.2.5.1.2 **Appeal Process**

The purpose of the appeal process is to determine whether the promotion review procedures were correctly followed. The Appeal Process itself 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 correctly) that substantially affected the outcome. An unsuccessful candidate who believes there was a procedural error in the promotion review can file an appeal with the Dean of Faculty Affairs within ten (10) business days from receipt of

the failure notice. Detailed appeal documents, if any, should be submitted within one month of registering the appeal.

When an appeal is filed, the matter is automatically referred to the Dean of Research and the Dean of the Graduate School to select an ad-hoc Appeal Committee comprised of tenured faculty. If the Appeal Committee finds that there were procedural errors that substantially affected the outcome, the Appeal Committee may recommend actions to correct the errors. The details of the corrective actions will depend on the nature of the procedural errors, but may involve a new PREC, new external reviewers (letter writers), new letters, or other changes. If the Appeal Committee finds that there were no procedural errors that affected the outcome, the recommendation will be to dismiss the appeal. The Appeal Committee, itself has no authority to recommend or deny promotion.

The recommendation of the Appeal Committee is final and is communicated in writing to the President and to the candidate who filed the appeal within 2 months from registering the appeal. The candidate may not challenge the outcome of the appeal. If further actions are recommended by the Appeal Committee, it is the responsibility of the President to implement those actions.

3.2.5.2.1 **Tenure Review (A)**

[Transitional Provision]

Tenure Review (A) is applicable to Assistant Professors and untenured Associate Professors who were negotiated their contracts or appointed as faculty members at OIST SC between November 1st 2011 and December 31st 2016. However, they may choose Tenure Review (B) in consultation with the Dean of Faculty Affairs.

The detailed information of the Tenure Review (A) can be referred to the TREC Handbook Version 2.5. For Assistant Professors, a tenure evaluation is conducted in Year 6. Untenured Associate Professors will be evaluated for tenure in Year 4.

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 decision is based on the career scholarly, teaching and service achievement during the full career, not solely the achievements at OIST.

The Tenure Review Evaluation Committee (TREC) 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 chair nominated by Dean of Faculty Affairs.

The TREC may enlist an external advisor to assist with identifying suitable external reviewers (letter writers) and should include an external member to assist in assessing the case for tenure, with full membership of the TREC and voting rights.

Members of the TREC 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 a TREC member should be clearly disclosed in the cover letter from the Chair.

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

Letters from external reviewers (letter writers) are essential for an objective evaluation. The TREC aims to collect 8 letters from external reviewers (letter writers) within 2 months from the initial request for letters. If 25% of those collected at this point recommend against tenure, that should be sufficient to refuse tenure.

The external reviewers (letter writers) should neither be co-authors, mentors nor close working colleagues of the candidate. When soliciting the opinion of external reviewers (letter writers), the TREC should draft the letter requesting the evaluation based on the template in the TREC 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 external reviewers (letter writers) 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 to the President, after review by the Appointment and Promotion Committee as described in the TREC Handbook Version 2.5, through the Dean of Faculty Affairs.

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

1) Review by the President
2) If the President agrees with the recommendation by TREC, the file, accompanied by a letter from the President, goes to the Board of Governors for final approval.
3) If the President disagrees with the TREC recommendation, the President will discuss how to resolve the disagreement with the TREC. He/She may convene a separate assessment for own use if necessary.

A negative TREC recommendation with which the President concurs, will be sent to the candidate, and will also be reported to the Board of Governors.

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

Under exceptional circumstances, an Assistant Professor who has had a negative tenure outcome can be reviewed for promotion to Associate Professor without tenure. In such exceptional case, the second review as Associate Professor without tenure is conducted in Year 8 from the initial appointment as an Assistant Professor and follows the similar procedure stipulated in Tenure Review (B). Such tenure review must be completed by the end of Year 9 from the initial appointment as an Assistant Professor.

For an Associate Professor, TREC may solicit from the external reviewers (letter writers) 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 unsuccessful 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.

3.2.5.2.1 **Tenure Review (B)**
[Transitional Provision]
Tenure Review (B) is applicable to untenured faculty who negotiated their contracts after January 1st, 2017.

The detailed information of the Tenure Review (B) can be referred to the TREC Handbook.

a) **Structure and Membership of Tenure Review Evaluation Committee (TREC)**
For a tenure review, the evaluation and recommendation phase is carried out by the TREC. The TREC is made up of three to five external members. The Dean of Faculty Affairs will appoint external TREC members, with the advice from the Appointment and Promotion Committee as described in the TREC Handbook Version 3.0 and after discussion of potential membership with the candidate, and the Chair.

Members of the TREC 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 a TREC member should be clearly disclosed in the cover letter from the Chair.

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

The TREC is a non-standing committee that is established independently for each individual action. In evaluation, substantial input from external reviewer (letter writer) is required and the external reviewer (letter writer) input carries the most weight with regard to the final evaluation.

b) **Outline of Tenure Review**
The TREC has the responsibility for conducting on-site review, analyzing letters from external reviewers (letter writers) and data on scholarship, teaching, service and other relevant matters, and finalizing a report during the on-site review.

The purpose of the tenure review 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 decision is based on the career scholarly, teaching and service achievement during the full career, not solely the achievements at OIST.

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.

Letters from external reviewers (letter writers) are essential for an objective evaluation. The TREC aims to collect 8 letters from external reviewers (letter writers) within 4 months from the TESD (Tenure Evaluation Starting Date). If 25% of those collected at this point recommend against tenure, that should be sufficient to refuse tenure.

The external reviewers (letter writers) should neither be co-authors, mentors nor close working colleagues of the candidate. When soliciting the opinion of external reviewers (letter writers), the TREC should draft the letter requesting the evaluation based on the template in the TREC Handbook.

c) **Criteria for Tenure (same with TREC Review (A))**

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 external reviewers (letter writers) and the report from on-site review by the TREC 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.

d) **Timeline of Tenure Review**

Assistant Professor

The Tenure Review begins on or by the TESD, which is the last day of the 6th month of Year 5 (4 years and 6 months after initial appointment). The 1st Tenure Review of an Assistant Professor must be completed by the end of Year 6. The TESD is the deadline for receiving tenure materials from the candidate. The Tenure Review

decision will normally be made within 6 months of the TESD. The TESD cannot be delayed, except for the circumstances in accordance with the "Stop-the-Clock" Policy in PRP3.2.5.2.2. An early review will be permitted in exceptional circumstances.

Year 1: Appointment as Assistant Professor begins. A Mentor is appointed.

End of Year 3: The candidate, his/her mentor, and a tenured Faculty member (appointed by the Dean of Faculty Affairs) meet to write a status report about the candidate's readiness for the tenure review. The report will be submitted to the Dean of Faculty Affairs. The candidate has a status meeting with the Dean of Faculty Affairs.

Between the mid-Year 5 and Year 6: The 1st Tenure Review is conducted. By the end of Year 6, the Tenure Review must be completed (The TREC's recommendation is sent to the President and the candidate is notified of the Tenure Review outcome by the President). There are three possible outcomes:

- "Outstanding": Assistant Professor is awarded tenure and appointed as Professor with approval from the Board of Governors.
- "Satisfactory": Assistant Professor is promoted to untenured Associate Professor with approval from the President.
- "Unsuccessful": The contract is terminated at the end of the contract period, or one year from notification of the failed review, whichever is later, subject to the limitation in PRP3.2.5.2.4.

Year 8: The 2nd Tenure Review is conducted for untenured Associate Professor who received the outcome "Satisfactory" in the 1st Tenure Review. This review must be completed before the end of Year 9 (The TREC's recommendation is sent to the President and the candidate is notified of the Tenure Review outcome by the President). There are two possible outcomes:

- "Successful": Untenured Associate Professor is awarded tenure and appointed as Professor with approval from the Board of Governors.
- "Unsuccessful": The contract is terminated at the end of the contract period.

Associate Professor (untenured at initial appointment)

The Tenure Review begins on or by the TESD, which is the last day of the 6th month of Year 4 (3 years and 6 months after initial appointment). The Tenure Review of an Associate Professor must be completed by the end of Year 5. The TESD is the deadline for receiving tenure materials from the candidate. The tenure review decision will normally be made within 6 months of the TESD. The TESD cannot be delayed, except for the circumstances in accordance with the "Stop-the-Clock" Policy in PRP3.2.5.2.2. An early review will be permitted in exceptional circumstances.

Year 1: Appointment as Associate Professor (untenured at initial appointment) begins. A Mentor is appointed.

End of Year 3:
The candidate, his/her mentor, and a tenured Faculty member (appointed by the Dean of Faculty Affairs) meet to write a status report about the candidate's readiness for the tenure review. The report will be submitted to the Dean of Faculty Affairs. The candidate has a status meeting with the Dean of Faculty Affairs.

Between mid-Year 4 and Year 5: The Tenure Review is conducted for Associate Professor (untenured at initial appointment). By the end of Year 5, the Tenure Review must be completed (The TREC's recommendation is sent to the President and the candidate is notified of the Tenure Review outcome by the President). There are two possible outcomes:

- "Successful": Untenured Associate Professor is awarded tenure and appointed as Professor, with approval from the Board of Governors.
- "Unsuccessful": The contract is terminated at the end of the contract period, or one year from notification of the failed review, whichever is later.

e) **Process after Tenure Review**
The TREC recommendation will be a file containing Tenure Review papers and a cover letter from the Chair of the TREC, submitted to the President, after review by the Appointment and Promotion Committee as described in the TREC Handbook Version 3.0, through the Dean of Faculty Affairs.

A positive recommendation from the TREC will proceed through the following levels of review. In order, these are:

1) Review by the President
2) If the President agrees with the TREC recommendation, the file, accompanied by a letter from the President, goes to the Board of Governors for final approval.
3) If the President disagrees with the TREC recommendation, the President will discuss how to resolve the disagreement with the TREC. He/she may convene a separate assessment of the candidate for own use if necessary

A negative TREC recommendation with which the President concurs, will be sent to the candidate, and will also be reported to the Board of Governors.

The unsuccessful candidate should work with the Dean of Research and the Dean of Faculty Affairs to ensure an orderly transition, including making proper provision for timely completion of any theses in progress, for redeployment of continuing staff, and for completion of contracts for fixed-term staff and post-doctoral scholars.

3.2.5.2.2 **"Stop-the-Clock" Policy for Tenure-track faculty**

Tenure-track faculty may request a contract extension and postponement of tenure review to accommodate parental responsibilities relating to childbirth, adoption of a child, or rearing of a baby. A second extension may be requested. Stop-the-Clock cannot be multiplied for multiple births (e.g., twins).

This policy is independent of maternity, parental, or childcare leave. Taking such leave does not automatically lead to application of Stop-the Clock Policy. An extension of the TESD does not alter the candidate's normal duties (i.e. teaching, supervision).

The form [Link] must be submitted to the Dean of Faculty Affairs prior to the TESD. Upon approval of the form by the Dean of Faculty Affairs and the President, the following actions will be taken.

1. The TESD will be postponed one year.
2. The employment of the candidate will be continued for one more year.
3. The unit funding will be extended one year.
4. The contracts of unit staff will not automatically be extended.

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

OIST Tenure Review offers a flexible timeline. With approval from the Dean of Faculty Affairs, "Stop-the-Clock" requests and other delays of the TESD arising from exceptional circumstances may be accommodated.

The total period of fixed-term contracts should not exceed 10 years for either Assistant Professors or untenured Associate Professors, subject to 3.2.5.2.4.
Under the Tenure Review (B), when an Assistant Professor received the outcome "Satisfactory" in the 1st Tenure Review and undertakes a 2nd Tenure Review, that review must be concluded before the end of Year 9. When the outcome of the 2nd Tenure Review is negative, the contract of the candidate will be terminated at the end of the contract period.

3.2.5.2.3 **Appeal Process**

The purpose of the appeal process is to determine whether the tenure review procedures were correctly followed. The Appeal Process itself 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 correctly) that substantially affected the outcome. An unsuccessful candidate who believes there was a procedural error in the tenure review can file an appeal with the Dean of Faculty Affairs within ten (10) business days from receipt of the failure notice. Detailed appeal documents, if any, should be submitted within one month of registering the appeal.

When an appeal is filed, the matter is automatically referred to the Dean of Research and the Dean of the Graduate School to select an ad-hoc Appeal Committee comprised of tenured faculty. If the Appeal Committee finds that there were procedural errors that substantially affected the outcome, the Appeal Committee may recommend actions to correct the errors. The details of the corrective actions will depend on the nature of the procedural errors, but may involve a new TREC, new external reviewers (letter writers), new letters, or other changes. If the Appeal Committee finds that there were no procedural errors that affected the outcome, the recommendation will be to dismiss the appeal. The Appeal Committee, itself has no authority to recommend or deny tenure.

The recommendation of the Appeal Committee is final and is communicated in writing to the President and to the candidate who filed the appeal within 2 months from registering the appeal. The candidate may not challenge the outcome of the appeal. If further actions are recommended by the Appeal Committee, it is the responsibility of the President to implement those actions.

3.2.5.2.4 **Total Period of Fixed-term Contracts**

Under any circumstances, the total period of fixed-term contracts should not exceed 10 years counting from the fixed term contract start date executed on or after April 1, 2013 for either Assistant Professors or untenured Associate Professors.

3.2.6 **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.

3.2.7 **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].

3.2.8 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.

3.4 Management Structure for Academic Issues

The management structure of the University is described in the Chapter 2. 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 of 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 sub-group, 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. These functions are services to the University; the President, Executive Vice President for Technology Development and

Innovation, Dean of the Graduate School, Dean of 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. 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 and one representative of the Science and Technology Group (elected by the Science and Technology Group Forum 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 of 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 February 1. Candidates will make their presentations at the Faculty Assembly meeting in March. 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 of 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, Executive Vice

President for Technology Development and Innovation, Dean of the Graduate School, Dean of 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 advise to the President on academic and administrative matters. The agenda is set by the Chair of the Council, but the President, Executive Vice President for Technology Development and Innovation, Dean of the Graduate School Dean of 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 appropriate. These meetings are critical for the healthy operation of the institution and provide a venue in which the trust and cooperation between administration and faculty can be established and maintained. The Assembly delegates the responsibility to deliberate on specific matters to the Council. Council members are elected members of the Faculty (at least two of whom are Assistant Professors), including the Chair of the Faculty Assembly, who is also the Chair of the Council. Consistent with the Japanese government gender equality goal of 30% women in leadership positions, at least 20% of Faculty Council positions will be reserved for female faculty members. In order for a quorum of the Faculty Council to conduct business, at least one female faculty member must be present. If the remaining reserved position(s) is/are not filled, then the position will remain vacant, to be filled via an election, when one or more female candidates become available.

Terms of Faculty Council members 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. The 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 of 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.

3.4.2.1 **Election of Council members**

It is important that the Faculty Council reflects the composition of the Faculty, with an appropriate mix of gender, ethnicity, scientific discipline, and seniority. Voting members of the Assembly, namely, full-time Professors, Associate Professors, and Assistant Professors are eligible to elect and to serve as Council members.

For the election of the Faculty Council members, a call for nominations will be made on April 15. Candidates will make their presentations at the Faculty Assembly meeting in May, but if a quorum is not convened in May, a special faculty meeting may be called in June for candidate presentations. The election will be held immediately following the presentations at either of the foregoing Faculty Assembly meeting.

Election Rules and Procedures are as follows:

1. If the number of candidates does not exceed the number of positions to be filled, candidates who receive more than 50% of the votes cast will be elected, including reserved positions for Assistant Professors and female faculty members.
2. If the number of candidates exceeds the number of positions to be filled, the candidates who receive the greatest numbers of votes will be elected until all positions are filled.
3. Election results must be publicized to Faculty Assembly members as soon as practicable after the close of voting.

3.4.2.2 **Procedures and Rules of the Faculty Council**

a) A majority of votes is required to pass any resolution in the Faculty Council. Elected members of the Faculty Council have voting rights, but Ex-Officio Members and Advisors do not have voting rights. If there is not a majority of the members with voting rights is not in attendance, the Faculty Council shall not transact any 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 serves as 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 agendas, preparing or commissioning documents for meetings, serving any sub-Committees created by the Assembly or Council, and coordinating with Senior Executives [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

Sabbatical leave offers tenured faculty members opportunities for study, research, acquisition of new techniques, and enhanced professional development. Sabbatical leave allows faculty members to focus on such matters without teaching and administrative duties. Details are described in the Sabbatical Leave Application Handbook.

Tenured faculty members are eligible to apply for sabbatical leave if they have served at least six (6) years since joining OIST as full-time faculty members. The tenure-track period is included as part of the sabbatical qualifying period so that untenured faculty members can apply for sabbatical leaves after being awarded tenure. Years from the OIST Promotion Corporation period are not counted.

For every three (3) years of academic service, tenured faculty members earn six (6) months of sabbatical credit. The maximum sabbatical credit that can be accrued is twelve (12) months.

Once eligibility is granted, at least nine (9) months before the start of the academic year in which sabbatical leave is to commence, the applicant must submit a "Request for Sabbatical Leave Application Form" online.

As part of sabbatical leave application process, an agreement between the host institution and OIST must be prepared. This agreement must include management of intellectual property that may result from the sabbatical research, and other pertinent sabbatical terms and conditions.

After submitting the online application form, the applicant must make necessary arrangements with the Deans of the Graduate School (DGS) and Faculty Affairs (DFA) to cover teaching, supervision of students and unit members, and administrative responsibilities during sabbatical leave.

When arrangements described in Sections 5 and 6in the Handbook have been approved in principle by the three Deans (DFA, DGS, and DoR) and if the Executive Vice President for Technology Development and Innovation and General Counsel validate the Intellectual Property-related arrangements with the host institution, the three Deans will sign the Sabbatical Leave Application Form. The application form will be sent by the Faculty Affairs Office to the President for final approval.

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 of 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 of 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 of 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 of 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. 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 of 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 of Faculty Affairs. The next level of management for the Dean of 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 of Faculty Affairs, and if this cannot be resolved satisfactorily, the President.

Authority: Approved by the Dean of Research and the President

Chapter 4. Research Activities

4.1 Policy

The OIST Graduate University (hereinafter, "University") promotes research activities that embody the five central concepts stated in 1.1.1 OBJECTIVES OF THE OIST GRADUATE UNIVERSITY [link: 1.1.1]: Best in the World, International, Flexible, Global Networking, and Collaboration with Industry. The University encourages interdisciplinary research through effective collaboration between University faculty [link: 4.2.1], research staff (which means those who engage in research activities at the University (people with research appointment [link: 4.2] other than University Faculty, Research Fellows [link: 4.3] and Science and Technology Associates [link: 4.5.1]; the same applies hereinafter), and students. The University respects Academic Freedom, and all researchers (University faculty and research staff; the same applies hereinafter) at the University should observe Openness in Research [link: 1.3.1]. The Office of the Dean of Research [link: 2.4.5.7] is responsible for providing technical and administrative support for the Research Units.

A unique feature of research at the University is its internal funding that enables challenging critical problems with cutting-edge technologies. The President, through the Dean of Research, has the authority to allocate internal research funding for common resources and Research Units in accordance with their research programs. The Dean of Research is responsible for implementing the mechanisms to ensure the efficient and fair use of research resources. Over the years, the University is expected to become less dependent on government subsidies and expects to be able to win competitive research grants and funding from industry. All faculty and research staff are encouraged to apply for external funding, and the Dean of Research shall provide support for externally funded research applications and monitor execution of these grants.

All researchers are expected to comply with legal and regulatory requirements and uphold the highest standards of research ethics and integrity. It is the responsibility of all researchers at OIST to ensure that the appropriate steps are taken with regard to the recording, handling and preservation of data and associated information such as computer programs and logbooks, and take great care to prevent any research activity misconduct, such as fabrication, falsification, and plagiarism, in the research groups. Faculty have a responsibility to promote and oversee the proper conduct of research in their Unit.

While externally funded research and collaboration with industry is encouraged, secret research that precludes the disclosure of research results is not permitted. Sponsored research for which the sponsor requires a delay in publication in excess of six months may constitute "secret" research. The research conducted at the University must be intended for public dissemination.

Research at the University may not be conducted for the economic benefit of any particular company or other commercial entity. Commercially sponsored research has the potential to generate significant Conflicts of Interest [link: 22], which must be disclosed and carefully evaluated.

In case conducting collaborative research with academia, such research shall be conducted in accordance with OIST Graduate University Joint Research Regulations. [link:]

It is prohibited by law to use the subsidy for operations of the University for purposes other than University's business.

4.2 Research Appointments

4.2.1 Faculty

Necessary matters regarding faculty research appointments are stipulated in Chapter 3 "Faculty Handbook" [link: 03].

4.2.2 Group Leaders

Definitions for Group Leaders are described in "Guidelines for Title and Job Class"[link:].The appointment to Group Leader is "Fixed-term". Group Leader appointments, unless by exception such as childbirth or illness, or unless appointed as "Continuing" described below, are limited to 3 years. Extension of appointment beyond 3 years is only possible under extraordinary circumstances and requires approval by the Dean of Faculty Affairs. In rare cases, Group Leaders with evidence of wide external and internal recognition of achievements in research may be appointed as "Continuing". Continuing appointment must be approved by the Continuing Staff Appointment Committee. In addition, Group Leaders with Continuing appointments will be reviewed by the Continuing Staff Appointment Committee, no less than every five years for promotion and salary adjustments.

4.2.3 Research Specialists

Definitions for research Specialists are described in "Guidelines for Title ans Job Class"[link:]. Appointment at the Research Specialist level will require convincing evidence of significant scientific or technical achievements beyond those expected at the Staff Scientist level and/or qualifications not usually found in a University setting. Research Specialist appointments, unless by exception such as childbirth or illness, or unless appointed as "Continuing" described below, are limited to 3 years. Extension of appointment beyond 3 years is only possible under extraordinary circumstances and requires approval by the Dean of Faculty Affairs. In rare cases, Research Specialists with evidence of wide external and internal recognition of achievements in research may be appointed as "Continuing". Continuing appointments must be approved by the Continuing Staff Appointment Committee. In addition, Research Specialists with Continuing appointments will be reviewed by the Continuing Staff Appointment Committee, no less than every five years for promotion and salary adjustments.

4.2.4 Staff Scientists

Definitions for Staff Scientists are described in "Guidelines for Title ans Job Class"[link:]. Staff Scientists appointments, unless by exception such as childbirth or illness, are restricted to a maximum of three years. At the discretion of the faculty member, the initial appointment may be for 1 or 2 years, with an extension up to a total of 3 years. Extension of appointment beyond 3 years is only possible under extraordinary circumstances and requires approval by the Dean of Faculty Affairs. Continuing Staff Scientist appointments are based on an employment contract that can be renewed with the same terms and conditions for the same term period until the age of 65, unless either party raises the issue of termination of the employment contract at least one month before the end of contract term period.

Continuing appointment or promotion to a higher level is based on documented scientific achievements during their term at the University or on research and professional work performed at other institutions before coming to the University. Performance is measured against scientific productivity, interaction with other scientists, other achievements, and scientifically and technically up-to-date evidence outlined by the employee and confirmed in letters of reference. Measures of performance include publications, collaborations, awards, presented lectures, and participation in professional organizations. Staff Scientists with Continuing appointments will be reviewed by the Continuing Staff Appointment Committee no less than every five years for promotion and salary adjustments.

4.2.5 Postdoctoral Scholars

Definitions for Postdoctral Scholars are described in "Guidelines for Title and Job Class"[link:]. Initial appointments may be up to three years, with extensions to a fourth year being possible and to a fifth year only under extreme circumstances. The appointment is "Fixed-term" without renewal, which means that it is a temporary appointment normally for 3 years and cannot exceed 5 years.

4.2.6 Research Unit Technicians

Definitions for Research Unit Technicians are described in "Guidelines for Title and Job Class"[link:]. Research Unit Technicians appointments are generally Fixed-term, but may be continued by re-appointment as a "Fixed-term" or converted to a Continuing appointment. Continuing appointments must be approved by the Continuing Staff Appointment Committee.

4.2.7 Dean's Research Group

The Dean's Research Group carries out research under the guidance of the Dean of Faculty Affairs, and is used in exceptional circumstances when, for example, there are research staff whose supervisor is no longer capable of supervising them (e.g. is on extended leave) and where there is no alternative unit or support service which can accommodate them.

Appointment is by the Dean of Faculty Affairs, and requires the support of the Dean of Research and the approval of the President.

4.3 Research Support Appointments

4.3.1 Research Support Leaders

Definitions for Research Support Leaders are described in “Guidelines for Title and Job Class”[link:].

4.3.2 Research Support Specialists

Definitions for Research Support Specialists are described in “Guidelines for Title and Job Class”[link:].

4.3.3 Research Support Technicians

Definitions for Research Support Technicians are described in “Guidelines for Title and Job Class”[link:].

4.4 Research Fellows

4.4.1 Research Fellows

Research Fellows are researchers who study in the University as their main research base (even though those who do not have employment relationship with the University) and be engaged in a temporary period of mentored research and scholarly training at the University. They are excellent researchers (those who are matriculated as student at the University are excluded)

who are awarded Research Fellowship for Young Scientists (Categories PD, RPD or SPD) by Japan Society for the Promotion of Science (JSPS) or receive other fellowship, stipend and/or research grant from research funding agencies located in or outside of Japan.

4.4.2 Acceptance of Research Fellows

Those who want to be engaged in research at the University as Research Fellows shall apply for acceptance in such capacity to the Dean of Research after the approval of the Faculty member who will act as their supervisor. The President shall allow their acceptance if it is not deemed to be an obstacle to the education and research of the University.

4.4.3 Duration of an Acceptance of Research Fellows

In principle, the duration of an acceptance as a Research Fellows at the University shall be established on the basis of the duration of the fellowship, stipend and/or research grant awarded by his/her respective agency. In the event that the supporting research funding agency cancels the decision to award or its fellowship or disqualify his/her from fellowship, the President may cancel/terminate the acceptance of the individual as a Research Fellow at the University.

4.4.4 Performance of Research Fellows

Research Fellows perform or are expected to perform following activities at the University:

a) Research Fellows work under the supervision of a faculty member.
b) Research Fellows are expected to publish, and may be supported

towards the publication of the results of their research during the training period.
c) Research Fellows may be involved with the pre-thesis and thesis work of students working in the Research Unit of their supervising Faculty member.

4.4.5 **Treatment of Research Fellows**Treatment accorded to individual Research Fellows by the University may vary, depending upon the rules of their respective fellowship programs, as stipulated by their respective funding agencies. However, the following treatment may be provided (details shall be stipulated separately by the Dean of Research and relevant Division head(s).):

a) An air ticket from the airport closest of their latest domicile to that closest to the University on their first arrival as a Research Fellow (one way, once, only available for the person himself/herself)

b) Costs of removal, upon their first arrival as a Research Fellow (only available when they select the removal agent designated by the University).

c) Facilitation of rental housing (only available when they occupy an apartment to be designated by the University. Details shall be stipulated separately by the Vice President for Building and Facility Management)

d) Relocation Support provided by HR Recruiting Support Section

e) Utilization of facilities and equipment of the University which are necessary for the Research Fellows to conduct research (When a Research Fellow loses or damages the facilities and/or equipment of the University, as a result of willful or negligent behavior, the University may request the Research Fellow restore same to its original state or may assert a claim against the Research Fellow for damages.)

f) Eligibility to apply Grants-in-Aid for Scientific Research (KAKENHI).

g) Health Checkups offered by the OIST Health Center

h) Application of the Price List for OIST Employees [link:] when Research Fellows receives medical treatment at the OIST Clinic (applicable only for the person himself/herself).

i) Honorarium when Research Fellows engage in work as a Teaching Assistant at the University

j) Utilization of welfare facilities of the University (Those which are provided by Promotion of Mutual Aid Corporation for Private Schools of Japan are exclusive.)

k) Other treatment which the Dean of Research deems appropriate.

4.4.6 Management of Grants-in Aid of Research Fellows

If Research Fellows receive Grants-in-Aid for Scientific Research from research funding agencies, the fund shall be managed by the University in accordance with the provisions of the rules of the University. When they intend to purchase goods or pursue domestic/foreign travels by the fund, it must be requested in accordance with the procedures stipulated in Chapter 28 and 29 of OIST Policies, Rules and Procedures (PRP).

4.4.7 Handling of intellectual property created by Research Fellows

Regulations of Chapter 14 of the PRP [link:14.1] shall be applied for the handling of intellectual property created by the researches in which Research Fellows engage.

4.4.8 Insurance coverage of Research Fellows

The University takes out an insurance to provide certain support in the case of the accidents and other incidents occurred during regular research activities. However, it is recommended that Research Fellows should take out liability insurance and accident insurance by their own expense in case of accident and for their health care.

4.4.9 Compliance

In the same manner as employees of the University, Research Fellows must comply with Japanese laws and regulations as well as OIST's policies, rules and procedures. If Research Fellows perform the acts indicated as the Reasons for Discipline for Employees of the University [link: 38.2], President may cancel the acceptance of the relevant Research Fellows.

4.4.10 Miscellaneous

Other details shall be separately determined by the Dean of Research.

4.5 OIST Researcher Community (ORC)

4.5.1 Role of the ORC

The ORC represents all Postdoctoral Scholars, Staff Scientists, Research Specialists and Research Fellows at OIST. It provides them with information about university matters, collects their opinions and suggestions, and provides feedback to the University.

4.5.2 Membership and Officers

The membership of the ORC includes all Postdoctoral Scholars, Staff Scientists, Research Specialists and Research Fellows who have OIST as their primary affiliation. The ORC elects two Researcher Representatives and one alternate, a Chairperson, and a Secretary. Elections will be held at least every two years by secret ballot, as often as the Chairperson deems necessary. Officers can be removed from their position by a written petition signed by a majority of the members of the ORC.

4.5.3 Meetings

The ORC will hold meetings as necessary and at least quarterly. Each unit is encouraged to have at least one member attend the meetings to encourage interaction, communication, and collaboration at OIST. Decisions of the ORC will be made by majority vote with each attending member having a single vote. At the discretion of the Chairperson, Executives or Faculty Members may be invited to attend for specific items on the agenda and may be invited to stay for the rest of the meeting.

4.5.4 Chairperson and Secretary

The Chairperson leads the ORC and moderates the discussion in the ORC meetings. The Chairperson and a Secretary schedule the meetings for the ORC. The Secretary prepares the agenda and records notes of the proceedings. In the absence of the Chairperson or Secretary, the Researcher Representatives assume these roles.

4.5.5 Researcher Representatives and Researcher Representative Alternate

The Researcher Representatives and Researcher Representative Alternate bring feedback to, or initiate discussion with, the Faculty Assembly and members of the Executive as appropriate. They may submit topics for consideration to the Chair of the Faculty Assembly, based on discussions of the ORC.

4.5.6 Advisory Groups and Assistants

The Chairperson may organize ad hoc or standing Advisory Groups to assist the Researcher Representatives for specific tasks or issues of importance to the ORC. The Chairperson may appoint Assistants as necessary to manage the administration of the ORC.

4.6 The Science and Technology Group (STG)

To achieve its goals, the University needs to be able to respond flexibly to opportunities to extend and complement its research portfolio and to pursue activities in support of the wider development of Okinawa. The STG provides a focus for these activities and contributes to the research capabilities of the University in many ways. It enables new scientific or technical directions to be supported where a full research unit is not warranted, as well as providing skilled leadership for technical support services, or develops scientific, technical, industrial, educational or cultural collaborations with local and international institutions.

4.6.1 Science and Technology Associates (STA)

STA work in the STG on projects that extend and complement the University's research portfolio and that support the wider development of Okinawa. These positions cover a wide range of skills and are used flexibly to enhance the capabilities of the University. STAs require special research skills and subject knowledge in a relevant scientific, technical, industrial, educational, or cultural discipline. There are three STA levels, dependent upon qualifications and experience, with each level requiring increasing professional achievement. Definitions for STAs are described in "Guidelines for Title and

Job Class"[link:].

STAs may conduct their own research or may be affiliated with a research unit and allocated resources. With the agreement of the Dean of Faculty Affairs, STAs may apply for external grants as a Principal Investigators.

Where there is an affiliation with a research unit, the STA's research evaluation will normally be included in the unit review or tenure review of the Principal Investigator who leads the unit based on on-site review by external reviewers. For such STAs, the external expert peer reviews are not conducted independently and the 1st and the 2nd external expert peer reviews stipulated in 4.6.1.1 are replaced with such unit review or tenure review, followed by the recommendations stipulated in 4.6.1.3 and 4.6.1.4; provided, however, such recommendations will include the STA's contract and/or promotion (if applicable), but not research funding as the STA's budget is included in the unit budget.

4.6.1.1 Criteria for External Expert Peer Review

Appointment and research evaluation of STAs is based on external expert peer reviews. Ideally the first review will be conducted before the end of Year 4, and the second review before the end of Year 8 if another non-continuing appointment is offered by the first review. Details of peer review procedures are defined by the Dean of Faculty Affairs [Link: Review Handbook for Science and Technology Associates]. Review criteria include following:

1. Quality and significance of the research or research-equivalent activity.
2. Scientific, technical, industrial, educational or cultural importance and interest of the work.
3. Demonstrated effective utilization of research resources.
4. Contribution to development of external partnerships with academic institutions, industries, or other international and local institutions.
5. Proposed future work.

4.6.1.2 "Stop-the-Clock" policy for STAs

STAs may request contract extensions and postponement of reviews to accommodate parental responsibilities relating to childbirth, adoption of a child, or rearing of a baby. A second extension may be requested. Stop-the-Clock cannot be multiplied for multiple births (e.g., twins).

This policy is independent of maternity, parental, or childcare leave. Taking such leave does not automatically lead to application of Stop-the-Clock Policy. An extension of the review start date does not alter the STA's normal duties.

The Stop-the-Clock application form [Link] must be submitted to the Dean of Faculty Affairs before the review process begins (i.e., by the due date for submission of materials for review evaluation). Upon approval of the application

form by the Dean of Faculty Affairs and the President, the following actions will be taken.

1. The review date will be postponed by up to one year.

2. Employment of the candidate will be continued for one more year, subject to 4.6.1 5).

3. Research funding will be extended by up to one year.

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

4.6.1.3 **Process after the 1st review**

a) Initial appointment of an STA is usually a non-continuing appointment up to five years. Based on the result of the 1st external expert peer review described in 4.6.1.1 and anticipated future contributions to the University, the Dean of Faculty Affairs, the Dean of Research, and the Chair of the Faculty Assembly or his/her nominee will make recommendations to the President about the STA's contract and research funding. The recommendations include:

1. Offer of another contract as a non-continuing appointment, research funding up to five years, and/or promotion (if applicable); or

2. Termination of appointment of a non-continuing STA at the end of their current contract period, or one year from notification of the decision, whichever is later, subject to the limitation in 4.6.1.5.

b) In special circumstances, prior to that the above recommendations in 4.6.1.3 (a) are made, the Dean of Faculty Affairs can decide to propose a continuing appointment to the Continuing Staff Appointment Committee (CSAC) by considering the outcome of the 1st external expert peer review described in 4.6.1.1 and anticipated future contributions to the University. Procedures with the CSAC are described in 4.6.1.4 (b).

The President will render a decision based on the recommendations above and will inform the STA of the result.

4.6.1.4 **Process after the 2nd review (Change to continuing appointment)**

The Dean of Faculty Affairs will decide whether to propose a change from non-continuing to continuing appointment to the CSAC by considering the outcome of the 2nd external expert peer review described in 4.6.1.1 and anticipated future

contributions to the University.

a) If the Dean of Faculty Affairs decides not to propose a continuing appointment, the Dean of Faculty Affairs recommends that the President terminate non-continuing appointment of the STA at the end of their current contract period, or one year from notification of the decision, whichever is later, subject to the limitation in 4.6.1.5. If the President disagrees with termination of the appointment, he may discuss other outcomes with the STA.

b) If the Dean of Faculty Affairs proposes a continuing-appointment, documentation will be submitted to the CSAC. This includes the complete dossier for the external expert peer review, plus a letter from the Dean of Faculty Affairs making the case that the conditions are satisfied. The CSAC will use the following criteria to recommend a continuing-appointment, research funding, and/or promotion (if applicable) to the President:

1. That the record of achievements during the period under review was "Outstanding" or "Excellent";

2. That proposed future work is judged to be of high quality, with a good chance of having a significant impact in that discipline over the next 10-15 years;

3. That there is an identifiable benefit to OIST's academic reputation.

The CSAC is comprised of the Executive Vice President for Technology Development and Innovation, the Dean of Research, the Dean of Faculty Affairs, and the Chair of the Faculty Assembly or his/her nominee. Since the Dean of Faculty Affairs is a member of the CSAC and is the proponent for the continuing appointment of the STA, the Dean of Faculty Affairs will present the recommendation, but will not participate in discussions regarding the STA's continuing appointment during the CSAC meeting.

When the CSAC recommends the continuing appointment and the President approves the recommendation, the STA can convert from a non-continuing to a continuing appointment. Continuing STA appointments are based on the University's employment contract, which can be renewed under the same terms and conditions for the same term period until age 65, unless either party raises the issue of termination of the employment contract in accordance with the applicable Rules of Employment.

If the CSAC does not recommend a continuing appointment, the STA's appointment will terminate at the end of their current contract period, or one year from notification of the decision, whichever is later, subject to the limitation in 4.6.1.5.

4.6.1.5 **Total period of non-continuing appointment**

Under no circumstances, should the total period of non-continuing appointment exceed 10 years counting from the fixed term (non-continuing) contract start date or a contract extension executed on or after April 1, 2013.

4.6.1.6 **STAs with continuing appointments**

STAs with continuing appointments will be evaluated by external peer review and will be reviewed for research funding, promotion, and salary adjustments (if applicable) by the CSAC at least every five years. If the CSAC recommends promotion, the Dean of Faculty Affairs will forward the CSAC's recommendation to the President for a final decision.

Continuing STAs will still be able to raise external funding in addition to research funding provided by the University or to replace OIST funding if the University's research funding is discontinued after a negative external review. Should the STA's achievements warrant, with approval of the Dean of Faculty Affairs, the STA may apply for timely external peer review in order to restart OIST subsidy funding after it has been discontinued. Based on the outcome of the external peer review, the President will

1. Approve restarting research funding for up to five years, or
2. Disapprove restarting research funding.

4.6.2 **The Science and Technology Group (STG) Forum**

4.6.2.1 **The Role of the STG Forum**

The STG Forum provides an opportunity for the members of the STG to discuss the development of the STG, and it provides them with information about university matters, collects their opinions and suggestions to provide feedback to the University, identifies and discusses common issues, and allows them to share research results.

4.6.2.2 **Membership and Officers**

All STAs are members of the STG Forum. One member will be elected as the Chair of the Forum. The STG Forum will also elect the STG Representative to the Faculty Assembly.

4.6.2.3 **Meetings**

The Forum will meet at least twice in each academic year. Forum meetings are attended by the Dean of Faculty Affairs, the Dean of Research, the STG Research Unit Administrator (who acts as the forum secretary), the Executive Assistant to the Dean of Faculty Affairs, and the HR Assistant to the Dean of Faculty Affairs as necessary. The President has a standing invitations to attend.
The Dean of Faculty Affairs reports on the STG Forum to the Faculty Council, and presents the STG Annual Report to the Faculty Assembly.

4.7 External Researchers

In enhancing OIST research through collaboration and ezchange, OIST invites researchers from other Universities or research entities to conduct research with OIST researchers. This collaboration arrangement is normally requested by faculty, and approved by the Dean of Research. The collaboration regularly entails access to OIST facilities and resources, which must be appropriately requested and authorized as part of the approval process. The categories are as defined below, with application and approval procedures managed through the resource center, with additional approvals made by relevant resource managers. Please see the resource center webpage for details of the application and approval process for external researchers.

4.7.1 Visiting Researchers

This research takes place under the terms of an external researcher agreement, with the sponsorship of an OIST faculty member. Agreements are valid for up to one calendar year, extensions beyond the initial agreement term require a repeat of the approval process prior to the expiry of the original agreement. Definitions for Visiting Researchers are described in “Guidelines for Title and Job Class”[link:].

4.7.2 Visiting Fellows

This research takes place under the terms of an external researcher agreement, with the sponsorship of an OIST faculty member. Agreements are valid for up to one calendar year, extensions beyond the initial agreement term require a repeat of the approval process prior to the expiry of the original agreement. Note that fellows employed under formal awards from foundations made with OIST (i.e. where OIST is the host institution), are classified as “Fellows” and are managed separately. Definitions for Visiting Fellows are described in “Guidelines for Title and Job Class”[link:].

4.7.3 Collaborating Researchers

This research takes place under the terms of both an external researcher agreement and an over-arching inter-institutional agreement, along with the sponsorship of an OIST faculty member. Invitations are valid for up to one calendar year, extensions beyond the initial agreement term require a repeat of the approval process prior to the expiry of the original agreement. Definitions for Collaborating Researchers are described in “Guidelines for Title and Job Class”[link:].

4.7.4 Research Consultants

This research takes place under the umbrella of an external researcher agreement, with the sponsorship of an OIST faculty member. Agreements are valid for up to one calendar year, extensions beyond the initial agreement term require a repeat of the approval process prior to the expiry of the original agreement. Definitions for Research Consultants are described in “Guidelines for Title and Job Class”[link:].

4.7.5 Guest Researcher

Guest Researchers must sign a simple guest researcher agreement, binding them to conform to OIST policy and other legal and contractual requirements. Definitions for

Guest Researcher are described in “Guidelines for Title and Job Class”[link:].

4.8 Mentor

The University provides mentors who give appropriate assistance and advice to junior researchers so that they can perform research activities responsibly and autonomously. Researchers (including Research Fellows) who belong to a research unit and members of the STG are basically mentored by faculty members who are responsible for the research unit and the Dean of the Faculty Affairs, respectively. Junior faculty members are mentored by senior faculty members, and the assignments appointments are made by the Dean for the Faculty Affairs. Students are mentored by academic mentors [link: 5.3.10].

4.9 Responsibilities for Research Staff and Student

Faculty members are not only scientific mentors for research staff and students but are also leaders in the workplace. They should make sure that the Policy on a Respectful Workplace [link: 1.3.2] is observed within their units. Each faculty member should provide an opportunity for their unit members to clearly understand this Policy. Assessing the knowledge of these policies and inviting constructive input regarding these policies should be part of each unit members’ annual performance appraisal.

4.10 Organizations for Supporting Research

4.10.1 Advisory Committees

The office of the Dean of Research supports the organization of the following committees, which send recommendations to the Dean of Research concerning research related matters.

4.10.1.1 Safety and Health Committee

See Rules for Safety and Health Committee [link: 13.2.1]

4.10.1.2 Radiation Safety Committee

See Rules for Radiation Safety Committee [link: 13.3.11]

4.10.1.3 Biosafety Committee

See Rules for Biosafety & Recombinant DNA Committee [link: 13.3.8/9]

4.10.1.4 Animal Care and Use Committee

See Rules for Animal Care and Use Committee [link: 13.3.10]

4.10.1.5 Human Subject Research Review Committee

See Rules for Human Subject Research Review Committee [link: 13.3.12]

4.10.1.6 Laser Safety Advisory Committee

See Rules for Laser Safety [link: TBP]

4.10.2 Research Support Division

The Research Support Division provides support for common research

resources as well as for research conducted by research units. The Division has the following Sections:

4.10.2.1 **Animal Resource Section**

4.10.2.2 **DNA Sequencing Section**

4.10.2.3 **Imaging Section**

4.10.2.4 **Instrumental Analysis Section**

4.10.2.5 **Mechanical Engineering & Microfabrication Support Section**

4.10.2.6 **Okinawa Marine Science Support Section**

4.10.2.7 **Scientific Computing & Data Analysis**

4.10.2.8 **Occupational Health and Safety Section**

4.10.2.9 **Grants and Research Collaborations Section**

4.11 **Research Ethics, Compliance, and Prevention of Conflicts of Interest**

Recognizing that scientific research is developed on a foundation of a public trust mandate, researchers must make honest and sincere decisions, and act accordingly to ensure responsible conduct of research. The University promotes responsible conduct of research and has established mechanisms to respond appropriately to research misconduct in line with the Code of Conduct for Scientists (2013, Science Council of Japan) and the Guidelines for Providing an Appropriate Response to Misconduct in Research Activities (2014, Decision by the Minister of Education, Culture, Sports, Science, and Technology).

Experiments in certain categories are required to be reviewed by the relevant Advisory Committee [link: 4.5.1] and then approved by the Dean of Research before commencement. Further, some materials and equipment are subject to regulatory controls (including administrative guidelines) for acquisition, handling, storage, record-keeping, disposal, and installation. Activities involving controlled items must comply with relevant statutes, regulations and guidelines. Researchers have the right to engage in consulting and other activities with external partners, subject to the University's policy on Conflicts of Interest and Commitment as defined in Chapter 22 [link: 22].

4.11.1 **Mechanisms for the Responsible Conduct of Research**

4.11.1.1 **Research Ethics Chief Administrative Officer**

The President has the ultimate responsibility for ensuring responsible research conduct at the University as the Research Ethics Chief Administrative Officer. The Research Ethics Chief Administrative Officer eliminates those factors that may foster wrongful research conduct, and establishes an environment and processes that ensure and encourage responsible conduct of research by implementing adequate misconduct-prevention functions. Further, if any misconduct occurs, the Research Ethics Chief Administrative Officer provides the necessary measures impartially and appropriately.

4.11.1.2 **Research Ethics Education Officer**

The Dean of Research administers the promotion of the research ethics education provided at the University as the Research Ethics Education Officer.

4.11.2 **Research Ethics Education**

All researchers, staff, and students of the University including faculty, postdoctoral scholars, staff scientists, research specialists, technicians, Research Fellows and science and technology associates must receive research ethics education [link: TBP] at least once every 5 years. When non-OIST researchers or students temporarily engage in research activities at the University for collaborative research, internship programs, or other reasons, the research units or sections that accept these non-OIST personnel are required to ensure that they receive the research ethics education. The Occupational Health and Safety Section supports the Dean of Research in the preparation of the research ethics education materials and the management of attendance records.

4.11.3 **Management of Research Data and Laboratory Notebooks**

Research data are valuable not only for the researcher who obtained them but also for the science community at large. All researchers are asked to preserve data in a secure, identifiable way with appropriate backup methods, and disclose these when necessary. Any research results at the University, including laboratory notebooks and electronic data files, are in general deemed as property of the University. It is the responsibility of each researcher to ensure that all of their research is properly documented in accordance with best practice in the field of study. This responsibility includes the safe keeping of research data and where appropriate lab note books, for future examination. Faculty should provide clear guidance to all researchers in their Unit on the form that this research record should take. The fabrication or falsification of data, and the plagiarism are not tolerated. The dissemination of research data on public databases is encouraged, while the best care must be taken to protect the privacy of human subjects data. When research staff leaves a research unit, an agreement should be made with the faculty regarding what data can be moved. When a faculty member or research staff leaves the University, while the ownership of the research data remains with the University, the Dean of Research can authorize a proper data transfer arrangement to ensure that the on-going research is not hindered.

4.11.4 **Management of Research Materials**

Research materials used in research, such as genetic samples and living modified organisms (LMOs), are valuable resources for the science community at large. Many

journals and funding agencies require such materials to be made publicly available after publication. Appropriate conditions, such as extremely low temperatures, must be maintained for the preservation of research samples/materials and one must take proper procedures when transferring them so that she/he can respond to such request by other researchers. Research samples and materials must be preserved for at least five years from the date they were generated, published, or presented at a conference. When providing or accepting research materials, a material transfer agreement (MTA) is required between the parties. When a researcher moves to another institution, an agreement is required beforehand concerning the division of materials.

4.11.5 **Research Protocols**

Faculty members need to ensure that research protocols in certain categories (such as the research involving radioisotopes, recombinant DNA, pathogens, toxins, animal or human subjects) are approved by the relevant Advisory Committee before commencement of the research and that approved protocols are followed by all research unit members. For specific research protocols that require approval, see Chapter 13 "Safety, Health & Environmental Protection" [link: 13].

4.11.6 **Publication of Research Results**

The results of research conducted at the University are required to made public as soon as possible in the form of journal articles, presentation at a conference or similarly appropriate venues (Chapter 1.3.1, Openness in Research [link: 1.3.1]). While publishing research results, faculty members and researchers must ensure that there are no violations, such as fabrications, falsifications, plagiarism, duplicate submissions, inappropriate authorship, or the use of copyrighted materials without gaining permission or giving credit.

The Okinawa Institute of Science and Technology Graduate University Institutional Repository (hereinafter referred to as "OISTIR") serves as the platform for public access to the intellectual output of the University. Publications and other research results should be deposited in the OISTIR, except in rare circumstances approved by the Library Director. Those who deposit materials in the OISTIR should follow the Okinawa Institute of Science and Technology Graduate University Institutional Repository Operational Guidelines to maintain an open-access environment. Publications in open access journals are encouraged and may receive support from the central budget.

4.11.7 **Export and Import Compliance**

Japan, like most nations, imposes controls and duties on the import and export of many goods, including materials and equipment used in basic research of the type conducted at the University. Intellectual property such as software, production know-how, and even User Manuals are also regulated and controlled by the import/export regulations. Goods approved for import may also be subject to fees/taxes (sometimes referred to as "duties") and periodical report to the authority, although items used in university-based research may be eligible for an exemption from duties. Great care

must be exercised and the Security Export Control Officer should be consulted to assure export/import control compliance. Refer to the government's Security Trade Control website [link: http://www.meti.go.jp/policy/anpo/englishpage.html] and the Foreign Exchange and Foreign Trade Control Law [link: http://www.japaneselawtranslation.go.jp/law/detail/?id=21&vm=04&re=01]

4.11.8 **Conflicts of Interest and Commitment**

Faculty members must disclose any situation that could lead to any real or apparent conflicts of interest as detailed in Chapter 22 "Conflicts of Interest and Commitment" [link:22].

4.12 **Health, Safety, and Environmental Protection**

All researchers conducting research activities must do so under the relevant health, safety, and environmental protection regulations. For health, safety and environmental protection information, researchers are required to fully understand and observe Chapter 13 "Safety, Health & Environmental Protection" [link: 13].

Each faculty member is responsible for training the members of their team in the appropriate health and safety procedures for that particular research area and for the management of those procedures in their laboratory or other workplace. Faculty members are also responsible for the safety of the laboratory facilities and equipment and are required to cooperate with investigations and inspections by University personnel or external agencies.

4.13 **Intellectual Property**

Intellectual property may be a source of revenue to support the education and research mission of the University [link: 14]. In recognition of this, the University requires disclosure to the University when information and developments derived from research may be of broader benefit or/and have commercial value. The Technology Licensing Section [link: 14.4.2] provides support in identifying and evaluating potential intellectual property, manages the preparation of patent applications, and monitors the effective use of such properties. Nondisclosure and Confidentiality Agreements raise significant concerns as the terms of such agreements may conflict with the University's Openness in Research Policy [link:1.3.1]. A contractual commitment to keep information secret can severely restrict the ability of University faculty to pursue research in the manner they choose and can make it difficult for the University to protect the ideas and inventions derived from the work of the faculty and researchers.

It is forbidden to sign or otherwise bind the University to a confidentiality obligation without first having obtained written approval from the General Counsel. Those seeking an in-depth review of this subject relating to the University's activities, please see Chapter 14, "Intellectual Property & Technology Transfer"[link:14].

4.14 **Fiscal Obligations**

Faculty members and recipients of external grants are responsible for managing their funding properly and efficiently. (See Chapter 26 "Finance & Accounting" [link: 26])

4.15 Operation and Management of Public Research Grants

4.15.1 Mechanisms for the Operation and Management of Public Research Grants

4.15.1.1 Public Research Grant Chief Administrative Officer

The President has the ultimate responsibility for the operation and management of public research grants at the University as the Public Research Grants Chief Administrative Officer. The Public Research Grants Chief Administrative Officer is required to ensure that all factors that may foster misconduct relating to the operation and management of public research grants are eliminated through the establishment of mechanisms that have adequate misconduct-prevention functions. Further, if any misconduct occurs, the Public Research Grants Chief Administrative Officer is required to provide all necessary measures impartially and appropriately.

4.15.1.2 Public Research Grants General Administrative Officer

The Dean of Research assists the Public Research Grants Chief Administrative Officer, and has the authority and responsibility for the operation and management of public research grants as a Public Research Grants General Administrative Officer at the University. The Public Research Grants General Administrative Officer develops Misconduct Prevention Plan and provides education and training workshops based on the Misconduct Prevention Plan to staff members in a planned and consistent manner.

4.15.1.3 Public Research Grants Compliance Officer

The Research Finance Manager appointed in the Office of the Dean of Research, the Grants and Research Collaborations Section Leader and the Business Development Section Leader play the following roles as a Public Research Grants Compliance Officers:

(1) Applies misconduct prevention measures, confirms the status of the implementation, and submits periodical reports to the Public Research Grants General Administrative Officer
(2) Prevent misconduct, provides compliance education programs to all persons engaged in work relating to the use or management of public research grants, and provides supervision over the attendance and accomplishments
(3) Monitors the use and management of public research grants by the persons engaged in such works relating to the use or management of public research grants and provides instructions for improvements as necessary

4.15.2 Internal Research Funding

The University's internal funding for a research unit is allocated each fiscal year based on

a five-year research program confirmed by the President at the time of the initial appointment and recommended by a review committee at the time of renewal. Any research equipment approved for a five-year research program should be considered common or shared equipment. The Dean of Research along with the Research Support Sections investigate purchases of any research equipment over five million yen for possible use as common or shared equipment.

4.15.2.1 **Common Research Resources**

The Research Support Sections overseen by the Dean of Research manages the common research facilities and equipment and provides services to the research units. The Resources Allocation Committee [link: TBP] considers the introduction of new equipment and services as well as improvements in their operations and forwards such recommendations to the Dean of Research.

4.15.2.2 **Internal Cost Charging**

The Research Support Sections may charge research units for the use of common research equipment and services to promote fair and efficient use.

4.15.3 **External Research Funding**

While internal research funding is a highly attractive feature for faculty, the University as a whole is expected to gradually depend less on government subsidies and more on competitive government grants and private funding. It is also important for the financial freedom of the University to provide flexible support for its research, education, and community building. The Grants and Research Collaborations Section overseen by the Dean of Research provides support for researchers to submit competitive research grant proposals and to spend the budget effectively in compliance with the funding agency regulations. When submitting grant proposals, requirements for additional space, equipment maintenance costs and the required incremental administrative support should be adequately considered.

4.15.3.1 **Public Grant Application**

Applications for government, prefectural, or international research grants by all eligible researchers are encouraged. Non-faculty researchers should consult the faculty before application, so that the pursuit of the grant does not interfere with the overall goal of the research unit. Any submission that requires additional laboratory or office space, and does not cover indirect costs or requires matching internal funding, requires additional scrutiny. All grant applications must be approved by the Dean of Research before submission.

4.15.3.2 **Private Funding and Joint Research**

When an opportunity for private research funding or joint research with an industrial partner emerges, the faculty is required to consult the Business Development Section for the appropriate contract or agreement. Privately funded research at the University must be of an academic nature and needs to be disseminated as a publication or conference presentation (see Chapter 1.3.1

Openness in Research [link: 1.3.1]). When conducting privately funded or joint industrial research, the policies and requirements regarding Intellectual Property and Technology Transfer [link: 14] and Conflicts of Interest and Commitment [link: 22] must be observed.

4.15.3.3 **Management of External Funds**

The use of external grants in general needs to conform to the requirements described in the University Policies, Rules & Procedures, in the same manner as internal research funding. Any additional requirements by the funding agency have to be observed. All grant recipients should be aware that non-compliance with the rules, both intentionally or mistakenly, can negatively impact the reputation of the University and can result in extensive sanctions for the offending faculty member.

4.16 **External Use of Research Facilities and Services**

The University is privileged to have cutting-edge research facilities and equipment along with expert technical support staff. While the University's research facilities and services are primarily for its own research and education, the utilization of excess capacity by external academic or industrial users can contribute to the advancement of science and technology in Okinawa and can foster active research communities around the University. The Office of the Dean of Research, overseen by the Dean of Research, promotes the external use of the University's research facilities and services while assuring availability for internal users, the proper charging of both direct and indirect costs, safety, security, and compliance with the University's policies and applicable regulations.

4.16.1 **Condition of Use**

An external user of the University's facilities and services must sign an agreement that outlines the safety and security, the ethical standards of the University, and the responsibilities of the user. If the user's research has not been reviewed by an institutional review board, approval by the University's applicable committees, such as the Human Subjects Research Review Committee, is required. Users are also required to have adequate training by the staff of the Dean of Research's Division before using any equipment. Any damage caused to the University's facilities, equipment, or other resources by a user must be compensated for by the user.

4.16.2 **Scheduling and Prioritization**

The Office of the Dean of Research is required to implement appropriate procedures for the scheduling of the facility use so that the University researchers' programs are not compromised.

4.16.3 **Cost Charging**

The Office of the Dean of Research, under the oversight of the Dean of Research, is required to establish appropriate charges for facility use and services for internal users, external academic users, and industrial users. The basic principle is to charge internal users for the incremental cost per use and to charge external academic users for a share

of the annual maintenance costs and to charge industrial users for the installation and depreciation of the facility.

4.17 **Reporting and Investigation procedures**

For reporting and investigation procedures in the case of any misconduct or suspicion thereof in research activities and use of research grants, see Chapter 23 [link: 23].

4.18 **Contacts**

Policy Owner: Dean of Research

Authority:
- Approved by the President
- School Education Act

Chapter 5. Graduate School Handbook

5.1.The Graduate School

The mission of the Graduate School of the OIST Graduate University is to provide first-class postgraduate education to the highest international standard. The Graduate School implements the following three core policies:

i. Admission Policy:

The Graduate University aims to train researchers who will play important roles in the international scientific community at leading scientific institutions in the public and private sectors. Accordingly, the Admissions Policy will make it a principle to recruit candidates with the potential and motivation to become leaders in scientific research on the international stage.

Recruitment will focus on attracting outstanding students from within Japan and internationally. Here "outstanding students" means students who are highly motivated by the excitement and potential of the cutting-edge research that is possible at OIST, who have the curiosity and academic ability needed to excel in their chosen areas of study, and who have the capacity for independent research and original thinking. Our students will also require proficiency in oral and written communication skills in English for advanced study in science, and the ability to interact effectively with people from a wide range of backgrounds.

Students will be eligible to apply if they are expected to complete a BSc or equivalent degree prior to admission, or have previously completed a BSc, MSc or equivalent degree representing the completion of an undergraduate course in science and engineering, or exceptionally in other fields. The student should meet requirements for admission to a graduate school under the School Education Act. Those who hold a Masters degree may be exempted from some coursework with the approval of the Dean. Successful candidates will only be enrolled into a doctoral program.

ii. Curriculum Policy:

In keeping with the concept of "best in the world" we will recruit outstanding students and conduct top class academic instruction. The academic program will aim to develop the full potential of each student toward scientific excellence and independence. In accordance with this aim, every student will be treated as a unique individual and have their program

of studies tailored to their scientific aspirations, prior education, and current interests. The basic principles of the curriculum design are to facilitate independent scientific thinking, and to learn by doing research. There will be a single program without barriers between disciplines.

The students will be accepted directly into an integrated doctoral program leading to a postdoctoral career path in leading research institutes and universities. The doctoral program will have a standard enrollment period of five years, and will follow a course-based study system. A three-term per year system will be used. The first two years will comprise a combination of laboratory rotations and courses, designed to prepare the students for their doctoral thesis work in a flexible way. In the second year the students will choose a laboratory in which to undertake thesis research and will submit a Thesis Proposal. An examination for progression to thesis research is held at the end of the second year, based on the written Thesis Proposal and an Oral Examination that includes a defense of the proposal and examination of fundamental knowledge in the field of the research. In order to ensure the highest international standards an external examiner who is expert in the field of the thesis study is a member of the examining panel. After determination of readiness for thesis work the students will enter into a three-year period of thesis research, which will conclude with examination of the thesis.

Students entering the program directly from undergraduate studies will normally take about five years to complete their course of study. Those with a relevant Honors degree or a Master's degree in another area can finish in four years. Students entering with a Master's degree in the area they intend to specialize can finish in three years.

iii. Diploma Policy:

The Ph.D. degree is conferred by the University in recognition of completion by the candidate of original research that makes a significant contribution to scientific knowledge. The degree is not awarded for completion of certain courses or a fixed period of enrolment, or for directed work as a technician. The work for the degree consists of original research and systematic studies that advance knowledge, conducted by the candidate with an appropriate degree of independence. In addition, the candidate must demonstrate the ability to communicate the results of their research and scholarship effectively in both oral and written English. The candidate must present their work in a thesis and defend it in an oral examination. A published paper or manuscript ready for submission must be included as an appendix to the thesis. A candidate may not submit for examination work that has been included in a thesis or dissertation that has been previously submitted towards a degree qualification.

In order to ensure the highest international standards a Final Examination is held after submission of the thesis. The Final Examination includes examination of the written thesis by two external examiners of international standing in the field of the thesis research, who also conduct an on-site oral examination.

The Graduate School is a division of the OIST Graduate University. The Dean is the head of the Graduate School. The Graduate School's major role is to provide academic services, student support and administrative support. These functions are organized into the corresponding sections as follows:

5.1.1. Academic Services Section

The academic services section supports the academic program of the graduate school, and performs the following tasks:

i Participate in the formulation of academic policies related to teaching of graduate courses and the academic program;
ii Administer the process of admission, registration and enrolment of students;
iii Organize course advising and appointment of Academic Mentors
iv Organize thesis supervision and appointment of supervisors and thesis committees;
v Monitor the academic progress of graduate students;
vi Coordinate conduct of course assessment and manage results;
vii Determine the results of PhD candidatures on the recommendation of the examiners;
viii Organize PhD examinations, external examiners, and coordinate the examination process;
ix Award degrees and administer graduation requirements;
x Conduct quality control processes including evaluation of teaching;
xi Disseminate good practice in teaching and PhD supervision;
xii Provide information about the Graduate School and its courses;
xiii Coordinate teaching activities, faculty assignment of teaching, the course schedule and timetable of classes and examinations;
xiv Manage teaching resources including seminar rooms and lecture theatres, teaching laboratories and equipment;
xv Provide induction programs for new students and teaching faculty;
xvi Coordinate academic content of international workshops, courses and seminars; and
xvii Prepare and maintain database systems concerning:

a. Intending students and applicants for admission
b. Individual records of faculty members
c. Teaching assignments
d. PhD thesis supervision
e. Student academic records
f. Course schedules
g. Alumni

xviii Provide secretariat for academic committees including:

a. Admissions committee;
b. Curriculum and Examination committees;
c. Thesis committees

xix Maintain a student information system

5.1.2. Student Support Section

The student support section is concerned with the everyday requirements for living, health and welfare of students at OIST, and is charged with the following tasks:

i Participate in the formulation of policy on issues broadly affecting graduate students, including housing, financial support and other welfare;
ii Provide supporting services for prospective and current graduate students, special students and interns;
iii Disseminate information and advice to students concerning scholarships and financial support;
iv Provide orientation to life in Okinawa and Japan for new students;
v Implement policies concerning student welfare, health, disability, childcare and safety;
vi Administer student financial support and scholarships;
vii Administer student welfare services;

5.1.3. Admissions and Career Development Section

The Admissions and Career Development Section is concerned with the recruiting of graduate students to OIST and supports professional development of current students in the Graduate School, and performs the following tasks:

i. Assist faculty in the mentoring of students for career development and provide information and advice to students on career opportunities, among other things
ii. Provide professional development courses as part of the academic program;
iii. Undertake student recruitment activity
iv. Organize seminars and lectures of general interest, among other things

5.2. Admissions and Registration

The OIST Graduate University aims to train researchers who will play important roles in the international scientific community at leading scientific institutions in the public and private sectors. Accordingly, recruitment focuses on attracting outstanding students. Here "outstanding" means students who are highly motivated by the excitement and potential of the cutting edge research that is possible at OIST, who have the curiosity and academic ability

needed to excel in their chosen areas of study, and who have the capacity for independent research and original thinking.

The OIST Graduate Program is conducted in English, therefore our students also require proficiency in oral and written communication skills in English for advanced study in science.

<equal opportunity statement: Candidates are considered for admission without regard to race, color, religion, national origin, disability, or gender.>>

5.2.1. Eligibility for admission to the graduate program

Students will be eligible to apply for the OIST Graduate Program if they have completed a BSc, MSc or equivalent degree or expect to do so prior to the admission date. They must also meet admission requirements stipulated in Article 20 of the University Rules [link:].

Successful candidates for the OIST Graduate Program will only be enrolled into a doctoral program and only as full-time students. Students must indicate an intention to complete the program leading to a PhD. There is currently no provision for a student to undertake an MSc.

5.2.2. Application for admission to the graduate program

An applicant who wishes to become a candidate for a PhD shall apply for admission before the closing date. Applications at other times should be directed to the student enquiries desk. The President may permit flexibility in time of entrance, for example when this would give advantages in recruitment of excellent students, or when this would be of benefit for the academic progress of the student.

Specific application period and closing dates are announced on the OIST public website. Prospective students are required to submit an application for admission online. All forms are to be filled out in English. The following documents are required:

i. Academic transcript and authenticated copies of diploma (BSc, MSc, etc.) An English explanation is required for transcripts that are not written in English.
ii. Applicant's statement. This should be not more than 400 words and should address the following points:
    a. The applicant's scientific interests and aspirations, and;
    b. What the applicant hopes to gain from undertaking graduate studies at OIST.
iii. An applicant who is seeking admission on the basis of a qualification from a university for which the language of teaching and/or examination is not English is required to provide standard language test scores (TOEFL or IELTS) obtained within last 2 years. There is no minimum score required but the information is necessary in determining preparatory course requirements.

iv. A minimum of two letters of recommendation from appropriate academic sponsors.

The following documents may be submitted optionally, and will be taken into consideration by the selection committee if available:

i Additional evidence of academic ability such as GRE general test scores obtained within last 2 years.
ii Additional material such as copies of publications and abstracts of oral presentations, and other evidence of achievement.

The OIST Graduate School reserves the right to request an external evaluation of academic qualifications from any applicant.

5.2.3. Selection for admission

The Admissions Committee makes the selection of students for admission, in accordance with the policies, rules and procedures of the Admissions Committee [link: 5.13.1].

This Committee reviews all material submitted by each student and makes a short-list of about 80 applicants. The short-listed applicants are invited to an Admissions Workshop.

5.2.3.1. Admissions Workshop

An Admissions Workshop will be held each year. The aims of the Admissions Workshop are to:

i Conduct face-to-face interviews of candidates by the Admissions Committee or a subcommittee thereof. In the interview the Committee discusses with the student their aims and their motivation to undertake graduate studies at OIST. The panel will also discuss the student's academic record and career aspirations. The student will have an opportunity to ask questions about the graduate program. The interview will be recorded and available to the selection panel.
ii Provide tours of OIST research and teaching facilities, student support and accommodation, and the surrounding environments.
iii Provide a social program giving an opportunity for students to meet existing students and faculty members.

5.2.3.2. Travel Rules for Candidates Attending Admissions Workshop

For those invited to attend the workshop the travel costs and a per diem will be paid by OIST. The workshop will comprise a minimum of two full days in Okinawa, with flexibility regarding additional time.

<u>Meals and accommodation</u>

OIST will cover the cost of accommodation and meals for candidates attending the Admissions Workshop at the OIST Graduate University. Breakfast, lunch & dinner will be provided from the evening before through the morning after the workshop.

Travel support

1: OIST will support a round trip in economy class between Okinawa and the airport for the candidate's starting and returning destination, excluding expenses for any layover (at any Japanese or foreign cities).

2: Candidates are responsible for fees resulting from any change or cancellation of their flight and accommodation made after our travel agent or OIST has confirmed the booking. Change or cancellation of the itinerary by the candidate is not permitted without prior approval from OIST. In case of any breach of this rule, flight and/or accommodation might be charged to the candidate.

3: OIST will arrange transportation between Naha (Okinawa) airport and OIST Seaside House. If a candidate does not arrive in and/or depart from Okinawa as scheduled for personal reasons, they will be responsible for arranging and paying for their transportation.

4: If candidates wish to purchase travel insurance, they are asked to do so at their own expense.

5: Candidates are expected to arrive at OIST on the day before the workshop. The workshop will comprise a minimum of two full days in Okinawa, with flexibility regarding additional time. A longer stay in Okinawa is permitted provided that the graduate school approves the itinerary in advance. In case of an extended stay the candidate will be responsible for arranging and paying for their own accommodation.

5.2.3.3. Final selection

The Admissions Committee will make a final selection of applicants who will be offered a place in the graduate program, and inform the Admissions Office. The successful applicants will be sent an official letter offering admission to the graduate program. Successful applicants will be required to accept or decline the offer within 30 days. The deadline for accepting or declining the offer may be extended by the Admissions Committee. A ranked list of reserves will be kept for a second round of offers if places become available.

5.2.4. Number of Students Admitted

In accordance with best-practice graduate teaching methods where low numbers of students for each faculty member are essential, and in line with overseas prestigious universities, the admission capacity of PhD full-time graduate students accepted by

the Graduate School shall be as stipulated in Article 15 of the OIST University Rules [link:].

5.2.5. Transfer students

Students who have commenced studies at another university and wish to continue their students at OIST and obtain the OIST PhD degree may, under special circumstances, be admitted subject to meeting admission standards. Such cases may arise, for example, when newly appointed faculty members with existing graduate students are appointed at OIST before their students complete their studies. In such cases OIST wishes to ensure the best possible outcome for the students and their supervisors while preserving the high international standards of the graduate program.

Transfer students should complete the application process in the same way as other students but their folder should include a letter from the OIST faculty member explaining the situation and recommending the student for the OIST graduate program.

5.2.6. Registration

An applicant who has been admitted to the graduate program as a full-time candidate for a PhD will become a student of the OIST Graduate School on the date of first registration. Registration is a synonym for matriculation in this context. Every student is required to register on admission to the Graduate School (Article 25 of the University Rules [link:]), and thereafter at the beginning of each academic year of the graduate program.

Flexibility in time of admission or registration may be of advantage. For example, there may be advantages to the Graduate School in recruitment of excellent students, and there may be benefits for the academic progress of the student. Variations in time of registration may be allowed by the President at the request of the Dean of the Graduate School.

For graduate students registering for the doctoral program leading to a PhD, the following conditions apply:

i Registration is restricted to full-time candidates.
ii A full-time candidate may hold an external scholarship or receive financial support from OIST, or a combination of both, to enable him or her to study on a full-time basis, but may not otherwise hold employment.
iii The full-time status of the student must be confirmed in a written declaration signed by the student and the Dean of the Graduate School.

In order to register, the student, must submit all forms in complete form to the Student Support section.

On registration a "registered student record" will be created for the student in the student record system. This record will be the official record of the student and will link to all other records including student academic record, progress reports, financial support, and housing, etc.

If the student does not fulfill all the requirements for registration by the deadline announced by the Office of the Graduate School, the admission will be automatically cancelled, and the student will be notified of cancellation in a timely manner.

5.2.7. Student ID Card

Students are required to carry a valid Student ID Card to access OIST facilities (doorways, classrooms, laboratories, administrative offices, libraries, etc.), and must present it when certificates are issued or when OIST staff asks for identification. Short-term students will be provided with a temporary Student ID card.

5.2.7.1. Card Issue and Return

When the student has been registered by the Graduate School, he or she will be issued with a Student ID Card. The card remains the property of the Graduate School, and must be returned upon completion of the period of study.

The card becomes invalid once the student is no longer a registered student at OIST.

5.2.7.2. Access

Entry to general laboratory areas is only permitted after the student has successfully completed the induction program during Enrollment Week, or similar (see PRP 5.2.8[link: 5.2.8]). Additional access to specific more restricted areas will only be made available after the appropriate safety and equipment training has been provided. Such access will only be provided while the student has a need to enter those particular restricted areas.

5.2.7.3. Loss and Replacement of Cards

In the event that a Student ID Card is lost or misplaced, the student must immediately inform the Graduate School Office. A replacement Student ID Card will be issued.

5.2.7.4. Permissions

Student ID Cards may not under any circumstances be loaned out or used by other persons, whether or not those persons are themselves authorized

to have access to OIST facilities. Cards may not be copied, reverse-engineered, distributed without permission, or cryptanalyzed. Cards remain the property of OIST even when invalidated. The Dean of the Graduate School may take disciplinary action in the event that these provisions are not followed.

5.2.8. Induction program

Students registered as full time OIST PhD students complete an induction program during Enrollment Week (the first week of the first term of the Academic Year). This program includes briefings on the PhD program, the mentoring and guidance of students, and student support, as well as training in the use of OIST facilities such as the IT infrastructure, the library, and the laboratories. Essential safety training to operate in the research laboratories and a preliminary health screen are mandatory before entry to the laboratory areas is provided.

OIST PhD students arriving outside of Enrollment Week and incoming special students may take this induction program at other times of the year more suitable to their arrival time. However, no laboratory access can be provided to students who have not completed this or a similar induction program.

5.2.9. Application Fees, Admission Fees and Tuition Fees

The Application Fee, Admission Fee and Tuition Fee (Article 42 of the University Rules [link:]) are set as follows.

Application Fee	0 Yen
Admission Fee	0 Yen
Tuition Fee	540,000 Yen /Annual

Payment of the Tuition Fee is by deduction of one-twelfth of the Tuition Fee from the monthly Research Assistant payments, over 12 months.

5.3. The OIST Graduate Program

The OIST graduate school offers an integrated doctoral program leading to the degree of Doctor of Philosophy (PhD). The degree of PhD is a research postgraduate degree. Such a degree shall be awarded to a candidate who

i meets admission requirements and receives and accepts an offer of admission, and is registered as a full-time PhD student for a minimum of three years and not more than ten years; and

ii satisfactorily completes prescribed coursework amounting to at least 30 points (20 from courses, 10 from research work) or alternatively, has obtained the equivalent number of credits based on prior study; and

iii presents a successful thesis representing the result of the

candidate's research which should constitute an original contribution to knowledge and contain material worthy of publication; and

iv satisfies the examiners in an oral examination in matters relevant to the subject of the thesis.

5.3.1. Period of study

The standard period of study is 5 years but may vary according to the level of preparation of the student and the progress of their research. The period of study may be reduced if the student has previously undertaken study that provides appropriate preparation.

5.3.1.1. Admission with BSc.

The period of study for a student entering with a first degree is 5 years.

5.3.1.2. Admission with MSc.

A student who has already obtained an MSc or has significant, documented research experience may enter directly into the second or third years of the program. Such a student will be required to complete an approved course of studies.

5.3.1.3. Minimum period of study

The minimum period of study is stipulated in Article 35 of the university rules [link:].

5.3.1.4. Extension to the standard period of study

In exceptional circumstances the period of study may be extended beyond the standard period of 5 years. Extension requires approval of the Dean of the Graduate School. In case of extension of the period of study, extension of financial support is not automatically granted. (see financial support section [link: 5.4.1])

5.3.1.5. Maximum period of study

The maximum permitted period of study is 10 years, including Study Leave and Annual Leave [link: 5.3.17].

5.3.2. Academic year and dates of terms

The academic year begins in September each year. The school year is composed of three terms, with nominally 15 weeks of scheduled teaching in each term. This schedule was chosen in order to give enough time for completion of a meaningful project in each Research Rotation (See Article 17 of the OIST University Rule).

5.3.3. Course work requirements

The first two years of the integrated 5-year doctoral program comprise a combination of Research Rotations and courses, designed to prepare the student for his or her doctoral thesis work in a flexible way. In the first two years of the program

students will undertake an individualized study program constructed from a combination of courses.

5.3.4. Course credits

The number of credits assigned to each course is stipulated in the Schedule of Courses [link: http://groups.oist.jp/ja/grad/course-info]. Students will be required to accrue at least 30 points before graduation. Courses include Professional Development, Basic, Advanced, and Research Courses. The subtotal of Professional Development, Basic, and Advanced courses amounts to a value of 20 points. Research courses include Rotations and a Thesis Proposal amounting to a total value of 10 points. International Workshop Participation may provide additional points. Credits may be awarded for graduate courses completed at other universities or at OIST prior to admission (Chapter 5.6.2 [link: 5.6.2]).

5.3.5. Mandatory Courses

To maintain flexibility in the curriculum the number of mandatory courses (apart from the required research courses: Rotation and Thesis Proposal) is limited to two, each worth one credit. These courses are Professional Development I and II. These Professional Development Courses are designed to develop essential knowledge, experience, and abilities for successful completion of the graduate program and to prepare the graduate for a career in leading international academic or industrial research laboratories.

5.3.6. Basic and Advanced Courses

Each student will normally take at least 4 Basic courses and 4 Advanced courses. In general, Basic and Advanced courses are worth two credits. Information about Courses is provided in the Schedule of Courses [link: https://groups.oist.jp/grad/courses-term-0] and Course Approval sections [link: 5.3.10]. Course advising [link: 5.3.10.] is undertaken by an individual Academic Mentor for each student, to provide an individualized course of studies.

5.3.6.1. Research Rotations

Rotations form a major part of the student's work in the first year of the graduate program. In each rotation, the student will spend one term undertaking a specific project and will then move on to a different research unit. The Rotations provide a variety of experience in different laboratories that will broaden the student's understanding of different disciplines, techniques, and ways of thinking. Rotations may include theoretical work or modeling as well as laboratory benchwork. They are intended to help the student select the most appropriate research unit and research question for their thesis research. Students will typically complete three Rotations before deciding on a thesis topic.

Three Research Rotations are always required, with a total point value of 9 points. There may be exceptions to this requirement in the case of equivalent prior research experience, in which case credit may be

awarded in increments of 3 points as a cross-credit [link: 5.6.2.]. In general, not more than 6 points can be cross-credited for rotations, so that all students must complete at least one rotation.

The choice of Rotations is part of the approved course taken by the student, and requires discussion with the Academic Mentor [link: 5.3.10]. The number of students who may take a rotation in a given research unit is limited to 2 and not all choices will necessarily be available at a given time. Students should list in order of preference 5 rotations on the application form [link:] submitted with their proposed course for approval by the Dean of the Graduate School. Their top 3 will be accommodated whenever possible. If not possible, the committee will look further along their list to ensure they can complete their rotations during the first year.

Each Rotation entails completion of a meaningful project. The Professor in charge of the host research unit will assign the project topic, taking into account the interests of the student and the capabilities of the research unit. In the course of each rotation the student is required to:

i. Write a rotation project proposal,
ii. Complete the proposed project in the research unit,
iii. Make an oral presentation to the research unit members, and
iv. Submit a written report on the project.

Rotations are evaluated by the Professor in charge of the research unit, and the student's report together with the evaluation is forwarded to the Academic Services Section. The student's progress and performance in each Rotation will be discussed in the Curriculum and Examination Committee to ensure cooperation among faculty members in facilitating individual student progress.

5.3.7. PhD Thesis Proposal

Students are required to complete a PhD thesis proposal, which is worth one credit. For details, see PRP 5.3.11.

5.3.8. Workload

The maximum the number of courses that can be taken in any one term is four. However, students will not normally take more than two Basic or Advanced Courses per term, in order to leave time for independent studies, reading, and research work during Rotations.

5.3.9. Overview of order of study

Year 1

i Appointment of Academic mentor

ii Course plan for Year 1 and Year 2 prepared (including rotations)
iii Professional Development I.
iv Complete approved Basic Courses and Advanced Courses if appropriate.
v Three Rotations.

(See separate note regarding additional professional development courses.)

Year 2

i Prepare PhD Thesis Proposal.
ii Complete approved Advanced Courses and additional Basic courses as needed.
iii Professional Development Ⅱ commences.
iv Nominate PhD Thesis Committee members.
v Submit nominating forms and thesis proposal.
vi Oral qualifying examination for progression to PhD thesis research conducted.

Years 3-5

i Thesis research.
ii Professional Development II.
iii Workshop Courses.

Examination of thesis

i Notification of intention to submit Thesis
ii Thesis Examination Committee nominated.
iii Thesis submitted
iv Thesis presentation and oral examination conducted at OIST.

5.3.10. Course advising

The particular selection of courses taken by any student is based on their educational background, intentions, and experience. Apart from mandatory Professional Development courses, there are no compulsory course requirements.

In such a flexible program, in which each student has an individualized program, excellent advice in course selection from an experienced advisor is essential. To provide this advice each student will have an independent Academic Mentor.

5.3.10.1. Appointment of Academic Mentor

An Academic Mentor (also called General Advisor) is assigned to each student from the time of admission. The Academic Mentor is required to work carefully with the student to select courses and Research Rotations that reinforce the foundations of the field of study and also provide the

breadth of study necessary to develop the ability to collaborate effectively across traditional boundaries. The Academic Mentor for each student will be appointed by the Dean of the Graduate School, with advice from the Academic Services Section. The Academic Mentor should have the following characteristics:

i Significant prior experience in course advising and supervision of graduate thesis research. New Faculty may gain experience in course advising and supervision by serving on thesis committees as a committee member.
ii High level of competence in the field, able to give advice to the student on the choice of courses that will prepare them for their PhD thesis research.
iii Be a disinterested party charged with working for the best interests of the student

The Academic Mentor will continue to play a general mentoring role for the duration of the student's studies at OIST. The Academic Mentor cannot also be the same student's Thesis Supervisor. If a student elects to undertake their thesis research in the research unit of the Academic Mentor, a new Academic Mentor shall be appointed.

5.3.10.2. Duties of Academic Mentor in development of Course Plan

The Academic Mentor and student together will formulate a plan of courses and Rotations for the first two years. The course plan will take into account any previously established credits, specific experience and research interests of the student. The Academic Mentor will guide the students to choose Rotations that include exposure to both experimental and theoretical approaches, and an interdisciplinary experience.

5.3.10.3. Approval of Course Plan

The course plan will be submitted to the Dean of the Graduate School on the required form [link:]. Each individual's course plan will be finally approved by the Dean of the Graduate School.

5.3.10.4. Approval of Research Rotations

Research Rotations are approved by the Dean of the Graduate School taking into account the student preferences, and availability of rotations.

5.3.10.5. Course assessment

Each course will be assessed as specified in the course schedules [link: http://groups.oist.jp/ja/grad/course-info]. Examiners may examine by means of written, practical, or oral test, or by continuous assessment, or by any combination of these. Examination scripts and reports must be written in English.

A student who is unable to complete an assessment because of genuine impairment may be permitted by the Dean of the Graduate School to complete a supplementary assessment. In such cases an application for special consideration must be submitted within 48 hours of the assessment on the appropriate form [link:].

There shall be no appeal against examination results. However, complaints about examination results will be considered by the Dean of the Graduate School and scripts will be checked for errors in marking. If errors are detected marks may be corrected up or down with the agreement of the examiner.

Formal assessment of courses will be coordinated by the Academic Services section. The dates of examinations and due dates of major items of assessment will be coordinated to avoid timetable clashes. Such dates will be fixed at the start of each academic year and students will be advised of the examination and assessment timetable at the start of the year.

Examination questions must be provided to Academic Services at least one month prior to the examination for preparation of examination papers. Examinations will be invigilated. Entry to the examination rooms will only be permitted for candidates enrolled in the course.

5.3.10.6. Monitoring of student progress and student mentoring

In the first two years, before confirmation of the student to progress to thesis research, the Academic Mentor will meet regularly with the student to discuss progress or problems with Courses and Rotations. The grades obtained in courses will be reported to the Academic Mentor and Curriculum and Examination Committee by Academic Services. In cases of difficulty the Academic Mentor will organize help and support for the individual student as needed. If difficulties continue the Academic Mentor has the responsibility of alerting the Dean of the Graduate School, who may initiate proceedings related to poor progress or performance. (Chapter 5.11.2 [link: 5.11.2])

5.3.11. Qualifying for Progression to PhD Thesis Research

Before commencing PhD thesis research all OIST graduate students will be evaluated by the Curriculum and Examinations Committee to determine if they are qualified for PhD thesis work. To initiate this process the student prepares the PhD thesis proposal, as described in Section [link: 5.3.11.3] after selecting a Thesis Supervisor(s) and Research Unit, and nominates a Thesis Committee. The thesis proposal, Thesis Supervisor, and Thesis Committee must be formally approved by the Dean of the Graduate School before the student commences thesis research

5.3.11.1. Nomination of Thesis Supervisor, and Thesis Committee members

All students will be required to have a Thesis Committee - irrespective of the seniority of the Thesis Supervisor - to provide oversight of the thesis research supervision. The Thesis Committee will comprise the Thesis Supervisor, the Academic Mentor, and the cosupervisor or the third Thesis Committee member, selected from among OIST faculty members by the student in consultation with the Thesis Supervisor. If the cosupervisor is selected from faculty members external to OIST, an additional Thesis Committee member also needs to be selected from among OIST faculty members. The student is responsible for nominating the Thesis Supervisor and may suggest names for the other committee members. The thesis committee members should be nominated before appointment of the Examination Panel for the thesis proposal. The Academic Services Section will provide guidance and assistance to students in relation to this process.

PhD Thesis Supervisors must be full-time faculty members. Adjunct and visiting faculty members may be cosupervisors or Thesis Committee members. Faculty external to the university may be cosupervisors provided an institutional agreement exists with the university of the external faculty member. Information about such agreements is available from Academic Services.

5.3.11.2. Process for Approval of Thesis Supervisor and Thesis Committee Members

In consultation with the intended PhD Thesis Supervisor and Academic Mentor, the student completes and submits the form for nominating Thesis Supervisor [link: Preliminary Thesis Research Supervisor] to the Graduate School. Furthermore, in consultation with the intended PhD Thesis Supervisor, Academic Mentor and prospective members of the Thesis Committee, the student completes and submits the form for nominating Thesis Committee members [link: Thesis Proposal Submission Cover Sheet] along with the thesis proposal to the Graduate School. The Thesis Supervisor and Thesis Committee members for each student will be appointed by the Dean of the Graduate School, with advice from the Academic Services Section. If the proposed Thesis Supervisor is the same person as the Academic Mentor, a new Academic Mentor will

be appointed by the Dean of the Graduate School to avoid any conflict of interest.

5.3.11.3. PhD Thesis Proposal Requirement

The PhD thesis proposal is the student's plan for their thesis research, and forms an important part of the evaluation for progression to thesis research. A positive outcome of the evaluation means that the proposal is acceptable and that the Curriculum and Examinations Committee agrees that the student is competent to proceed with the plan under the supervision of the thesis committee. The thesis proposal must be the student's independent work in which the student makes an original contribution to the development of the research question, design of the research, and review of the literature. In the course of developing the proposal the student is expected to discuss the intended research with the thesis supervisor. The supervisor should advise the student on what is possible in the research unit, and discuss the scientific questions, the relevant existing work, and the research design and methods.

Students must write the thesis proposal in their own words. In referring to the work of others correct citation and attribution of sources is essential. Plagiarism by copying or paraphrasing is strictly forbidden and if established may lead to a fail without further examination.

The student's supervisor and proposed Thesis Committee must read the proposal before it is submitted. The student's Thesis Committee may give feedback on one draft of the proposal and allow the student to make necessary revisions before submission. When satisfied that the plan is achievable and that the research goals are appropriate, the supervisor and committee members indicate formal agreement by signing the cover page. The proposal is then submitted for examination. The student must defend the proposal in an oral examination.

5.3.11.3.1. Format and Content of the Thesis Proposal

It is part of the student's training in research to prepare a concise, rigorous, and scholarly thesis proposal and present it in the correct format. There is no strict length requirement for the thesis proposal. It is anticipated that most students will need 8,000-10,000 words (about twenty pages of text) to adequately explain the motivation and goals of their project, review the relevant literature, and describe progress to date. However, concise proposals are encouraged, and a proposal of 5,000 words, which covered all these points, would be perfectly acceptable. The proposal should contain the following sections:

i. Front Page. This should include the name and logo of the OIST Graduate University, the words "PhD Thesis Proposal", the title of the thesis proposal, the names of the student, primary supervisor (and co-supervisor if there is one), and the month and year of submission of the thesis proposal.

ii. Abstract. This should be a single paragraph of not more than 500 words, which concisely summarizes the entire proposal.

iii. List of Abbreviations

iv. Introduction and Literature Review. This should include a statement of the problem, the overall aims, and background to the research including a review of relevant existing work (literature review). The literature review should be of publishable quality and provide a concise, scholarly review of the literature explaining the background to the proposed research. The review should provide the context for the aims of the proposed research in relation to existing work on the topic.

v. Research Plan. This should begin with the specific aims of the research and provide a concrete plan for completion of the research including the design and methods. This section should include an explanation of how the methods will address the aims and the significance of the results for the field.

vi. Progress Report. This should be a report on the research achievements of the student in the laboratory of the proposed supervisor during preliminary thesis research. The report should not duplicate material previously submitted for evaluation as part of a previous degree, but may include work completed during rotations at OIST. The report may include examples of results obtained with the methods proposed. It is understood that results may not be available in projects requiring, for example, development of methods, sample preparation, or recruitment of participants, in which case other evidence of progress should be reported.

vii. Bibliography. The bibliography should include all references cited in the text and should not include references that have not been cited. In preparing the bibliography, students may use any of the conventional styles of referencing that include the titles of articles, such as the Harvard, Vancouver or ACS systems. However, the style chosen must be used consistently and correctly throughout, both for in-text citations, and formatting of bibliographic entries

viii. Appendices. These are optional and should only be used if necessary.

The examiners commit to read the proposal, but the Curriculum and Examinations Committee reserves the right to require students to rewrite excessively long, or poorly constructed, thesis proposals, without forwarding them to examiners. The student cannot assume that the examiners will read the optional appendices.

The complete doctoral thesis proposal document must be submitted to the Graduate School by the due date as nominated by the Dean, normally no later than four weeks (28 days) prior to the oral defense. An emergency exception to the standard due date deadline can be granted by the Dean on the basis of a written request from the supervisor.

5.3.11.4. Examination and Defence of Thesis Proposal

An Examination Panel for the thesis proposal comprises three members: an External Examiner, an Internal Examiner, and a Chair appointed by the Curriculum and Examinations committee. The Examination Panel will conduct a three-hour oral examination that will include a defense of the thesis proposal. The Examination Panel will include an External Examiner who is expert in the field of the proposed thesis and external to OIST. Normally the examination will be conducted in person at OIST but if this is not possible the Dean of the Graduate School may permit electronic participation by audiovisual link. The Curriculum and Examinations Committee appoints the External Examiner taking into account nominations provided by the proposed supervisor. Similar conflicts of interest precaution apply as outlined in 5.3.13.3.1 below. The Examination Panel also includes an Internal Examiner from OIST faculty members, who is appointed by the Curriculum and Examinations committee. An OIST faculty member with knowledge of OIST standards and regulations concerning thesis proposal examinations is nominated by the Curriculum and Examinations committee and will chair the Examination Panel. The Examination Panel will not include the proposed thesis supervisor or student's mentor. The Thesis Supervisor and other members of the Thesis Committee may attend the oral examination as observers but should not participate in the examination.

5.3.11.4.1. Conduct of the Examination

The only material normally permitted in the examination room is the thesis proposal itself. Additional material such as copies of additional results figures developed since the thesis proposal was submitted, are permitted provided they are supplied to the Chair at least one week in advance, and the Chair agrees to their inclusion.

The Chairperson starts the examination by announcing the start of the examination and explaining the examination process to the student and examiners. The Chairperson then invites the student to give a concise summary of the research proposal, which should normally take less than 15 minutes. The use of slides or other material for the presentation is not permitted. However, the

student may refer to a hard copy of the thesis proposal during the examination. A white board and pens are also provided.

After the summary, the Chairperson invites the External Examiner to examine the student. The Internal Examiner may follow the External Examiner or, as appropriate, join the discussion with the student. As the expert in the field of the thesis proposal, the External Examiner is expected to play the principal role in the examination.

It is expected that the examination will comprise a balance of roughly equal parts: (1) defense of the thesis proposal and (2) examination of fundamental knowledge in the field or fields of study relevant to the thesis topic.

In the defense of the thesis proposal (part 1), the student is expected to demonstrate the necessary advanced knowledge and understanding to undertake the proposed thesis research and show their original and independent contribution to the proposal and the research question.

In the oral examination (part 2), the student is expected to demonstrate adequate fundamental knowledge in the field or fields of study relevant to the thesis topic, and the ability to organize, apply and convey that knowledge effectively.

In the conduct of the examination it is envisaged that part 2 will flow naturally from part 1. A rigid division into parts is not necessary and the balance of time spent on each part, while nominally equal, may be varied at the discretion of the examiners.

The examination shall not continue for more than three hours maximum, but may be concluded sooner if the examiners are satisfied that they have sufficiently examined the student and are able to make a recommendation. The Chairperson formally concludes the examination when the allowed time has elapsed or the examiners have indicated they have no further questions.

After the examination, the External Examiner and Internal Examiner independently provide brief written reports on the examination to the Chairperson within one week of the examination. The Chairperson then forwards the reports to the Curriculum and Examinations Committee. **The report shall remain confidential and shall not be released to the student until after the Curriculum and Examinations Committee has formally decided on the outcome of the examination**.

The examiners' report is required to include one of the following possible recommendations listed below:

i. **Pass**. The examiners recommend that the student be advanced to candidacy. The examiners may recommend additional course work or stipulate minor revisions to the thesis proposal.
ii. **Defer**. This outcome is possible only if the student's academic preparation is sufficient, and the thesis proposal is not acceptable in its present form but could be acceptable pending major revisions. The thesis proposal must be re-examined in a second oral examination. In such case the Examiner's report shall itemize the deficiencies of the thesis proposal that need to be addressed in the revisions, and any deficiencies in the scope and depth of the student's knowledge that require remediation.
iii. **Fail**. This is the outcome when academic preparation is not sufficient or the thesis proposal is not suitable for re-examination, or has not met the required standard on re-examination. No re-examination is allowed in the case of a fail outcome.

5.3.11.5. Evaluation for Progression to PhD Thesis Research

The purpose of evaluating qualification for progression to PhD thesis research is to determine whether the student has an adequate fundamental knowledge in the field or fields of study relevant to the thesis topic, and can organize, apply and convey that knowledge effectively. The Curriculum and Examinations Committee will make this evaluation taking into account the completed program of study and the student's performance in courses and rotations at OIST, the thesis proposal, and the student's performance in an examination. The thesis proposal forms an important part of the evaluation. The thesis proposal must be the student's independent work and clearly show the original contribution of the student to the research question. The evaluation may occur when requested by the student and normally before the end of the second year of study, and at the latest within 12 months of the start of preliminary thesis research. When evaluating the student, the Curriculum and Examinations Committee will consider the following materials:

i. The student's PhD thesis proposal.

ii. A report from the examining panel as separately described (5.3.11.3).

iii. The student's academic record at OIST.

iv. Write-ups of Rotations.

v. An Endorsement of the thesis proposal from the proposed thesis supervisor, the student's academic mentor, and other members of the intended thesis committee, on the prescribed Thesis Proposal Submission Cover Sheet (link).

vi. Further material deemed relevant to the evaluation.

At the next available meeting of the Curriculum and Examinations Committee after the examination, the committee considers the reports from the examiners and makes a recommendation. The Curriculum and Examinations Committee will reach one of the three decisions listed below and record the decision in the student's academic record:

i. **Pass**. The student is advanced to candidacy. The committee may require additional course work or stipulate minor revisions to the thesis proposal.

ii. **Defer**. This outcome is possible only if the student's academic preparation is sufficient, and the thesis proposal is not acceptable in its present form but could be acceptable pending major revisions. The thesis proposal must be re-examined in a second oral examination after which the committee must reach a decision of either pass or fail. The committee will stipulate a deadline for submission of a revised proposal and date of re-examination. If the student fails to resubmit by the deadline the outcome will change to fail.

iii. **Fail**. This is the outcome when academic preparation is not sufficient or the thesis proposal is not suitable for re-examination, or has not met the required standard on re-examination. No re-examination is allowed in the case of a fail outcome.

This outcome is sent to the student and the Thesis Committee as soon as it becomes available, together with the reports of the examiners. If revisions are required, a timeline for their completion is described in the outcome letter. Revisions must be submitted by the deadline, for consideration by the responsible person (usually the Examiner or Chair). Once revisions have been accepted, the student is notified after ratification at the next available meeting of the Curriculum and Examinations Committee.

Procedures for appeal against the outcome of the evaluation are separately described (5.3.11.8).

5.3.11.6. Exit with MSc ("Non-continuation" outcome of evaluation for progression).

A student who, after evaluation for progression to PhD thesis research, fails to meet requirements for progression to PhD thesis research may submit a thesis for consideration for award of the MSc degree in accordance with Article 37, paragraph 3 of the University Rules. An MSc may be awarded if the candidate has successfully completed the following minimum requirements:

i. at least 30 points (20 from cou
rses, 10 from research work),
ii. submission of a thesis describing their own research work at a level judged to be suitable for the award of MSc by a panel of examiners including at least one external examiner.

There is a time limit in such cases. The student must achieve the necessary course credits and submit their MSc Thesis for examination within six months of being informed of the outcome of the Evaluation.

The examining panel will include an external examiner, an internal examiner, and a chair appointed for this purpose by the Curriculum and Examination committee. The examiners will examine the written thesis and submit a report within 3 months of receipt of the thesis, including a recommendation of either "passed" or "failed". The Curriculum and Examination committee reviews the recommendation and considers whether all academic requirements for the award of the degree have been satisfied. In the case of a "pass" outcome the procedures for conferment of the degree (5.3.15) shall be followed. In the case of a "fail" outcome the Individual Student Record shall be updated with an entry on the next day, stating that the outcome is "fail" . At the time when the individual Student Record is updated, the candidate is sent a letter advising of the outcome.

5.3.11.7. Exit with MSc prior to progression to PhD thesis research

Under exceptional circumstances, when deemed necessary by the Dean of the Graduate School, a student who, prior to evaluation for progression to PhD thesis research, requests early exit from the program may be allowed to submit a thesis for award of the MSc degree in accordance with Article 37, paragraph 3 of the University Rules. Early exit must be requested within two years of enrolment and approved by the Dean of the

Graduate School. An MSc may be awarded if the candidate successfully completes the following minimum requirements:

i. At least 30 points (20 from courses, 10 from research work).
ii. Submission of a thesis describing their own research work at a level judged to be suitable for the award of MSc by a panel of examiners including at least one external examiner.
iii. Having been enrolled in the University for at least two years.

The student must achieve the necessary course credits and submit their MSc Thesis for examination before the end of the third year of enrolment. The examining panel will include an external examiner, an internal examiner, and a chair appointed for this purpose by the Curriculum and Examination committee. The examiners will examine the written thesis and submit a report within 3 months of receipt of the thesis, including a recommendation of either "passed" or "failed". The Curriculum and Examination committee reviews the recommendation and considers whether all academic requirements for the award of the degree have been satisfied.

5.3.11.8. Appeals procedure

A student who has failed the qualifying examination (or MSc thesis examination) may lodge an appeal. Grounds for appeal include incorrect application of the procedures, but objections to the evaluations in the assessment by the examiners, the decision of the Curriculum and Examinations Committee, and the composition of the examining panel are not a basis for appeal. The qualifying examination is a confidential process, and this confidentiality must be maintained throughout any appeals process. The appeal must be in writing, include a concise statement of the reasons for the appeal, and be lodged with the Manager, Academic Services, within 28 days of the date of the letter advising the outcome of the qualifying examination. The appeal will be referred to the Dean of Faculty Affairs, who will determine the course of action to be undertaken, taking into consideration the grounds for the appeal stated by the candidate. This may include a review of the examination process.
The Dean of Faculty Affairs will determine the outcome of the appeal as either:

i. The procedures for the qualifying examination were applied correctly, and the appeal is unsuccessful.
ii. The procedures for the qualifying examination were not applied correctly, but the variation in procedures did not influence the outcome of the examination, and the appeal is unsuccessful.
iii. The procedures for the qualifying examination were not applied correctly, and the variation in procedures did influence the outcome of the examination, and the appeal is successful. In this case, the Dean of

Faculty Affairs will determine further action to be taken, which may include re-examination.

The outcome of the appeal will be determined within 28 days of the date the written appeal was received by the Office of Academic Services.

5.3.12. Monitoring the student's progress in research

From the commencement of the thesis research period, the Thesis Supervisor will take primary responsibility for monitoring progress of the student, assisted by the Thesis Committee. The Academic Mentor will continue to act as a support person and an advisor who can act in a confidential manner in case of problems between the student and the Thesis Supervisor.

5.3.12.1. Research progress reports

Confirmed students are required to submit an annual progress report on the progress of the student's thesis research. The student will prepare the report, which will be endorsed by all members of the Thesis Committee, and forwarded to the Dean of the Graduate School.

Satisfactory progress is required for continuation in the program. In case of lack of progress or poor quality of research, the Dean of the Graduate School may intervene and suggest solutions. If the lack of progress or poor quality of research continues, the Dean of the Graduate School may, in consultation with the Curriculum and Examination Committee, order discontinuation.

5.3.12.2. Discontinuation

A candidature may be discontinued:

i if academic progress is not satisfactory; or
ii if the student has failed to meet the requirements as stipulated elsewhere [link: 5.4.].

5.3.13. Ph.D Degree Completion

The Ph.D. degree is conferred by the University in recognition of completion by the candidate of original research that makes a significant contribution to scientific knowledge. The degree is not awarded for completion of certain courses or a fixed period of enrolment, or for directed work as a technician. The work for the degree consists of original research and systematic studies that advance knowledge, conducted by the candidate with an appropriate degree of independence. In addition, the candidate must demonstrate the ability to communicate the results of their research and scholarship effectively in both oral and written English. The candidate must present their work in a thesis and defend it in an oral examination. A candidate may not submit for examination work that has been included in a thesis or dissertation that has been previously submitted towards a degree qualification. Course credit requirements are listed in PRP 5.3.13.7.

5.3.13.1. Thesis Requirements

The thesis must present original research that makes a significant contribution to scientific knowledge. The thesis must form a coherent narrative that includes a statement of the problem, a scholarly review of the relevant literature, and must present, in detail, the methods, results, discussion and conclusions of the research. A collection of published articles, irrespective of their impact on science, falls well short of what will be considered acceptable. The thesis must be formatted in chapters and submitted according to the OIST Guidelines on the Preparation of Theses ("Guidelines").

Students are strongly advised to publish peer-reviewed articles in international journals based on their thesis work in a timely fashion and preferably before submitting the thesis. Such publication of thesis research is evidence of a significant scientific contribution that will be taken into account by thesis examiners, and is essential for future career prospects. Published, archived or submitted articles must be included as an appendix of the written examination version of thesis. In the absence of a published, archived or submitted article, the thesis for examination must append at least one manuscript, drafted by the student, of publication quality and ready for journal submission. Previously published papers and manuscripts for submission must not be included in the final version of the thesis, for copyright reasons.

When papers based on work completed as part of the PhD thesis are submitted, are in press, or in print, it may be possible to modify and include material from them as chapters in the thesis, providing that the thesis as a whole presents a coherent account of the research. For details concerning these matters refer to the Guidelines.

5.3.13.2. Final Examination

A candidate is examined both on the written thesis and in an oral examination.

The examination process is strictly confidential.

The candidate must submit to the Graduate School written Notice of Intent to Submit a Thesis with enough time for the examination to be arranged before the proposed submission date.

The Graduate School will provide guidance on the time required in each case. Before submission of the thesis, the Graduate School must confirm that the course credits necessary for graduation have been completed.

If there are insufficient course credits, the required additional credits must be completed before the final examination.

5.3.13.3. Appointment of the Thesis Examination Panel

After receiving the Notice of Intent to Submit a Thesis, the Curriculum and Examinations Committee (CEC) will appoint thesis examiners from

within and outside the University, to form a Thesis Examination Panel, as follows:

i. Two Examiners selected from two different working-countries, who are expert in the field of the proposed thesis and external to OIST. The CEC appoints the examiners taking into account nominations provided by the Thesis Supervisor. The CEC is responsible for determining if the nominated examiner is expert in the field of the proposed thesis research, taking into account the publications of the examiner in international peer reviewed journals.
ii. A Chair selected from the OIST faculty members with knowledge OIST standards and regulations concerning PhD thesis examinations.
The Thesis Supervisor is responsible for ensuring that the nominated examiners meet the specified conditions. The Academic Services Section of the Graduate School is responsible for checking that the specified conditions are satisfied. If the conditions are not satisfied, the nomination shall not be submitted to the CEC, and the Supervisor shall be advised on the grounds for declining the examiner and asked to nominate a new examiner by the Academic Services Section.
The CEC may alternatively appoint an examiner who has not been nominated by the Supervisor.

5.3.13.3.1 Conflicts of interest in examinations
The CEC will not appoint examination panel members who have or appear to have conflicts of interest. For OIST faculty members, a conflict of interest is deemed to exist if the faculty member is involved in the supervision of the thesis research of the candidate, or is collaborating in the research project of the candidate. For non-OIST faculty members a conflict of interest is deemed to exist if they:

i. Are involved in the research
ii. Have current collaborations with members of the thesis laboratory, or previous collaborations in the past 5 years.
iii. Have had prior or ongoing contact with the supervisor that may appear to compromise objectivity, such as having been in the same department as the supervisor, having been a thesis or postdoctoral supervisor (or vice versa), or having joint publications or grants with the supervisor in the past 5 years
iv. Have had prior contact with the candidate that may appear to compromise objectivity, such as having been in the same department as the candidate, having supervised the candidate in academic or project work, or having joint publications or grants with the candidate at any time.

5.3.13.4. Examination of the Written Thesis

The two external examiners read the thesis, separately prepare a report and make a recommendation from the following choices:

i. Proceed to oral examination (no revisions, or minor revisions required).
ii. Defer (minor revisions required). The thesis as presented does not meet the required standard but has the potential to do so if adequately revised. Reexamination of the written thesis is required before oral examination.
iii. Consider for an MSc degree [see: 5.3.13.4.1]. The thesis does not contain material sufficient for a PhD degree but qualifies for an MSc.
iv. Fail.

Examiners submit their report and recommendation to the Chair of the Thesis Examination Panel, through the Graduate School, at least 7 days prior to the scheduled oral examination. The Chair reviews the recommendations. Where necessary, the Chair may formally seek advice related to the thesis research from other OIST faculty with relevant knowledge of the field.

If both examiners recommend (i) the student is permitted to proceed to the oral examination.

If one or more examiner selects either (ii), (iii) or (iv), the Chair convenes a meeting of the Thesis Examination Panel by teleconference to determine a recommendation, which is passed to the Curriculum and Examinations Committee along with the examiners' individual reports. The Curriculum and Examinations Committee then decides on the course of action from among the listed options (above).

In the case of Defer, the thesis must be re-examined after the revisions have been completed. Examiners then choose a recommendation of:

i. Proceed to oral examination
ii. Consider for an MSc degree (see PRP 5.3.13.4.1)
iii. Fail

In all cases the examiners' reports will be retained by the Chair until after the oral examination, at which time they will be transmitted to the student as outlined in PRP 5.3.13.5.

5.3.13.4.1 Exit with MSc ("Award lesser degree" outcome of PhD thesis examination)

A student who fails to meet requirements for the award of a PhD may be awarded the degree of MSc on the recommendation of the Thesis Examination Panel, provided they have fulfilled the necessary requirements set out in PRP 5.3.13.7.

5.3.13.5. Oral Examination

It is a requirement that all examiners participate in the oral examination. Exceptionally, if an examiner is not available in Okinawa at a time convenient for a meeting of the Thesis Examination Panel, the Dean of the Graduate School can approve remote participation of an examiner by teleconferencing.

The examination is conducted in two parts:

An open presentation. This is a 45-minute presentation of the thesis work followed by a 10-minute question period. The external examiners form part of the audience but must not ask questions nor begin the examination at this point.

An oral examination. Immediately after the research presentation, the student and the Examination Panel conduct the oral examination in private, for up to two hours. The Thesis Supervisor and other members of the Thesis Committee may attend the oral examination as observers but must not participate in the examination, nor take part in discussion. After the oral examination the Thesis Examination Panel confers privately. The Examiners may modify their reports in light of the oral examination or confirm there are no changes. The Examination Panel then determine a recommendation from the following options, using the standard form provided by the Graduate School.

i. Pass
ii. Pass subject to satisfactory revision
iii. Defer and reexamine
iv. Consider for an MSc degree [see: PRP 5.3.13.4.1],
v. Fail

In the case of a “Pass” outcome, the student is informed by the Dean of the Graduate School and must lodge the final version of the thesis with the Graduate School as an electronic document, ready for publication in the OIST institutional repository.

In the case of “Pass subject to satisfactory revision” outcome the report specifies the revisions to be made, which may be by reference to individual examiner’s reports. The Dean of the Graduate School informs the student of the required revisions.

After the student has made the revisions the Chair of the Thesis Examination Panel approves the final version of the thesis or, if the revisions are unsatisfactory, returns it for further corrections. If necessary the Chair may ask the external examiners to evaluate the revisions. When the final version of the thesis has been approved the student is informed by the Dean of the Graduate School and must lodge the final version of the thesis with the Graduate School as an electronic document, ready for publication in the OIST institutional repository. Students are required to remain at OIST until the final version of the thesis has been accepted by the Graduate School.

In the case of a "Defer" recommendation, the report specifies the reasons for the defer recommendation and the required revisions, and the student is referred to the Curriculum and Examinations Committee for setting a new timeline for revision and reexamination. Where possible, the same examiners are involved in the reexamination of the written thesis and the oral defense.

In the case of a "Consider for MSc" recommendation or a "Fail" recommendation, the Report specifies the reasons for the outcome and the student is referred to the Curriculum and Examinations Committee. The Curriculum and Examinations Committee may decide to consider for an MSc degree [link: PRP 5.3.13.4.1] or fail the student.

A student who has failed the thesis examination may lodge an appeal. The procedures for an appeal are separately stipulated in PRP 5.3.11.8.

5.3.13.6. Public presentation

There is no requirement for a public defense of the degree thesis as part of Doctor the examination process. As part of Philosophy. their professional development candidates are expected to give a final presentation of their research for the OIST community, but this does not form part of the examination.

5.3.13.7 Summary of Completion Requirements

In order to graduate with the PhD degree, a student must have been registered as a full-time student for a minimum enrolment period stipulated in Article 35 of the university rules[link] and successfully met the following minimum requirements:

i. completed and passed at least 30 course credits (20 credits in case of MSc graduates)

ii. submitted a PhD thesis for examination,

iii. obtained a PASS outcome of the Thesis Examination

The academic record for the student will record the name of the Thesis Supervisor and list separately the names of the members of the Thesis Committee.

A student who fails to meet requirements for the award of a PhD may be considered for the award of a degree of MSc if they have successfully completed the following minimum requirements:

- at least 30 credits
- submission of a thesis describing their own research work at a level judged to be suitable for the award of MSc by a panel of external and internal examiners.

5.3.13.8 Appeals procedure
Appeals will be managed by the process stipulated in 5.3.11.8.
[link: http://www.oist.jp/policy-library/5.3.11]

5.3.14. Prizes

The graduate university may establish prizes.

5.3.15. Graduation

5.3.15.1. Conferment of Degree

On confirmation of receipt of the final version of the thesis via the Graduate School, the secretary of the Curriculum and Examinations Committee passes to the faculty assembly the recommendation to award the degree. The recommendation shall be sent electronically. If there are no objections within three working days, the recommendation shall be considered as having been confirmed by the Faculty Assembly. In the case that there are valid objections the matter shall be put on the agenda for the next Faculty Assembly meeting, and the student and members of the thesis committee shall be informed. The Dean of the Graduate School shall prepare a recommendation for the Faculty Assembly after hearing the nature of the objection.

Once the Faculty Assembly has approved the recommendation, the minutes of the Faculty Assembly hold a record of the names of the students, the date of conferment, and title of the thesis. The Individual

Student Record shall be updated with an entry by the end of the month in which the Faculty Assembly approved, stating that all requirements for the degree have been satisfied and the degree has been conferred. The record includes the date, the title of the thesis, the name of the Thesis Supervisor, and the names of the other members of the Thesis Committee.

At the time when the individual Student Record is updated, the student is sent a letter confirming that the degree has been conferred and that the student may receive their degree certificate at the next graduation ceremony or "in absentia". The degree certificate is presented by the President at the graduation ceremony (see PRP 5.3.15.2). A student who chooses to graduate in absentia is provided with the degree certificate after the graduation ceremony. The format of the certificate is as per Form 1 (for PhD Degree) and Form 2 (for MSc Degree) [link] .

When a Doctoral degree is conferred, it shall be reported to the Minister of Education, Culture, Sports, Science and Technology, and the abstract of the thesis and the result of the examination shall be publicized on the internet within 3 months following the day of the conferment of the Doctoral degree.

The entire text of the thesis related to the conferment of the Doctoral degree shall be published within one year following the day of the conferment of the Doctoral degree; provided however, that this shall not apply to the thesis published prior to the conferment of the Doctoral degree.

The student may request that the full text not be published, and instead only publish a summary of the contents of the thesis in lieu of the entire text of thesis when there is significant reason and with approval of the Sipervisor. In this case, the University will make available for inspection the entire text of the thesis in response to a request, in hard copy and on University library premises. When necessary for intellectual property protection or other reasons, this inspection will be subject to a non-disclosure agreement. When the Dean of the Graduate School judges that

the significant reason no longer exists, the entire text of thesis related to the conferment of the Doctoral degree shall be published through the medium specified by the university.

5.3.15.2. Honorary Degree of Doctor of Science

5.3.15.2.1 Policy

The OIST Honorary Doctor of Science (DSc) Degree recognizes those who have made profound and enduring contributions to scholarship, culture, or improved quality of life in society, and who either have a real and substantial relationship with the OIST Graduate University or whose work has had a major impact for OIST. It is important that recipients be persons of great integrity, as the choices we make reflect our values as an institution. The Honorary DSc Degree is awarded to the recipient in person at the Graduation Ceremony at the OIST Campus. The Honorary DSc Degree may not be awarded in absentia.

5.3.15.2.2 Degree Awarded

Honorary Doctor of Science

5.3.15.2.3 Procedures

Nominations or suggestions for Honorary Degrees may be sent direct to the Chair of the Honorary Degrees Committee by any member of the University community. Nominations will normally be considered by the Committee three months before the Graduation Ceremony.

Nominations for the Honorary Degree are considered by the Honorary Degree Committee, which makes recommendations to the President. Nominations are made on the Honorary Degree Nomination Form[Link]. If the nomination is supported, and the President agrees, and the recipient accepts the offer, the Degree is awarded at the next Graduation Ceremony.

5.3.15.2.4 Honorary Degree Committee

The Honorary Degrees Committee consists of the Dean of Research, who chairs the committee, the Dean of Faculty Affairs, the Dean of the Graduate School, and the Chair of the Faculty Assembly. The duty of the Committee is to select persons to be recommended in writing to the president for the Honorary Degree. The final decision is made by the president, who is not bound by the recommendation.

5.3.15.2.5 Confidentiality

It is important from the beginning of the process of nomination through to the point at which a decision is reached and the successful candidates have been invited by the President, that a high level of confidentiality be maintained.

5.3.15.2.6 Format of Nominations

(i) a supporting submission which contains an introductory statement providing the grounds for the award;

(ii) a brief account of the nominee's life and work;

(iii) an outline of the nominee's most significant academic or other achievements;

(iv) an assessment of his/her international standing;

(v) OIST connection or link, or if none any tangible association with our values; and

(vi) any other information the proposer would wish to bring to the attention of the Committee. If relevant, nominations should be accompanied by details of the nominees' published works in an Appendix.

5.3.15.3. Graduation Ceremony

The University holds an annual Graduation Ceremony, to which all eligible PhD graduates from the preceding year are invited. The President will present those graduates in attendance at the ceremony with their degree certificates in the presence of the assembled faculty of the University. Graduates who choose to graduate in absentia will be mentioned at the ceremony and their certificate will be sent to them by mail.

OIST official academic dress comprises a black gown with red border and white piping, together with a black velvet tam and tassel. PhD graduates of the OIST Graduate University augment the university gown and tam with a hood, presented at the graduation ceremony. Academic dress is made available by the Graduate School for rent or purchase by faculty members, students, and graduates. The rental fee covers cleaning and other costs, while the purchase cost reflects the actual cost of academic dress manufacture. Graduating students may elect to rent for the graduation ceremony and purchase at a later date. Academic dress rentals are not permitted for off-site use.

Under the OIST travel rules, the Graduate School will pay for airfare for the OIST graduates attending the ceremony to receive their degree certificate. In addition, the Graduate School will cover the cost of guest rooms in Seaside House for the graduates and family members for their accommodation if available.

5.3.16. Student professional development

5.3.16.1. Careers Advice

The OIST Graduate School has a dedicated Careers Development Coordinator in the Admissions and Career Development Section. The Careers Development Coordinator provides individual careers advice, as well as help with CV and resume writing, job searching and career exploration to students.

5.3.16.2. Teaching Assistantship

The OIST Graduate School offers OIST PhD students and Special Research Students opportunities to gain experience and develop skills as Teaching Assistants. Teaching Assistants may contribute to various educational activities such as:

1. Assisting an OIST faculty member in the delivery of an official OIST Graduate School course. Teaching Assistants may contribute in activities such as laboratory classes and tutorials and preparation of materials under the supervision of the faculty member. It is expected that the OIST 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. Selection as a Teaching Assistant for a course is decided by the faculty member in charge of the course.

2. Acting as tutors in OIST International Workshops and Courses, or in preparatory or remedial courses for OIST students. Selection is decided by the faculty member in charge of the Workshop or Course.

3. Contributing to educational outreach activities such as open campus, school visits, children's science. Selection is decided by the organizer of the outreach activity.

4. Assisting in educational activities at other universities, by agreement between the universities. Selection is decided by the graduate school in consultation with the other university.

5. Assisting in other educational activities organized by the Graduate School.

Teaching experience is important for an academic career. The graduate school will keep a record of Teaching Assistant activity for each student. A record of teaching experience will form part of the Professional Development course requirements.

Teaching Assistants are expected to prepare thoroughly for their teaching activity by reading all materials and studying necessary background. Preparation of material may be required. Attendance at training provided as part of Professional Development courses is also expected. Because of the course requirements in the first years of the PhD program, Teaching Assistants will normally only be appointed after successfully completing their qualifying examination.

Students wishing to apply for Teaching Assistant appointments should discuss their request with the faculty member or organizer of educational activity and submit a completed Teaching Assistant Application Form to the Student Support desk. This form is necessary for recording the Teaching Assistant activity of each student. The form should detail the contact hours and be signed by the proposed supervisor. A CV should be attached.

Service as a Teaching Assistant is normally unpaid because students receive financial support by other mechanisms. Exceptional cases and other necessary items are separately stipulated.

5.3.17. Leave of Absence and Holidays

Research study in the Graduate School is considered a year-round activity that continues between teaching terms. A student who wishes to be absent from Okinawa and / or the approved course of study and research, or who proposes to take vacation, shall be required to submit a written application for leave of absence. There are four types of leave of absence, namely, Annual Leave, Study Leave, Non-study Leave and Special Leave. Apart from Sick Leave, a student must seek and receive approval BEFORE going on leave.

5.3.17.1. Annual Leave

In addition to University Holidays (5.3.17.5), Students are granted 20 days of Annual Leave per Academic Year, adjusted pro rata from their first day, or 10 days if the entire period of study is less than one year. At the start of each Academic Year thereafter, students are granted an additional 20 days Annual Leave. For students taking courses, this leave must be taken in the designated break periods between terms; Annual Leave will not usually be approved during term. For students engaged in thesis research work, the approval of the Thesis Supervisor (or in the case of Special Research Students, the University supervisor) is required for Annual Leave, which may be taken during term time. Annual Leave newly granted and not used in the current year will be carried over to the following year. The carried over Annual Leave must be used prior to the Annual Leave newly granted in the following year.

5.3.17.2. Study Leave

A student may be granted Study Leave for the purposes of study while taking approved courses at other institutions outside Okinawa. A student may be granted Study Leave for the purpose of research outside Okinawa only at a partner institution with which the University has entered into a formal exchange agreement. Any period of Study Leave granted shall be counted towards the period of study. Conference, summer school and workshop attendance outside Okinawa, and field work are not normally considered as Study Leave but as a business trip.

5.3.17.3. Non-study leave

A student may request or be asked to take Non-study Leave when he / she is best advised for personal, health, or other reasons to have time completely away from his / her academic responsibilities. Under no circumstances shall leave of absence under this category be granted on each occasion or cumulatively for a period of more than two years for the

entire period of study. Any period of Non-study Leave granted shall result in the extension of the period of study by the period of absence.

5.3.17.4. Special Leave

Students may be granted Special Leave for a variety of reasons with approval by the Graduate School. The table below indicates acceptable reasons and length of leave:

	Category	Reason	Period
1	Sick Leave	Unable to work due to injury or illness. Medical certificate is necessary when more than 2 consecutive days are taken. Extension beyond 6 days is considered to be Non-study Leave, with approval.	2 to 6 days
2	Marriage	• The Student	Up to 5 days
		• Child of a student	Up to 2 days
		• Sibling of a student	1 day
3	Funeral	• Parent, spouse, or child of the student	Up to 7 days
		• Grandparent, sibling, or spouse's parent	Up to 5 days
		• Relatives other than above within the third degree	Up to 3 days
4	Maternity	Special arrangements for reduced study load, etc., for students before and after birth of their child are available. See Childbirth Accommodation Policy, Chapter 5.3.18.	Up to 2 terms
5	Paternity	Special arrangements for reduced study load, etc., for students before and after birth of their child are available. See Childbirth Accommodation Policy, Chapter 5.3.18.	Up to 2 terms
		• Wife's delivery of child	Up to 3 days
		• To provide care to a new	Up to 5 days

		born baby or for another child of the same family who has not entered elementary school during the period from 8 weeks (14 weeks for multiple pregnancies) before the expected date of wife's delivery to 6 weeks after the actual date of delivery.	
6	Child Medical Care	To provide care to a child who has not entered elementary school when the child is sick or injured or when the child takes vaccination or medical check-up.	Up to 5 days for one child or up to 10 days for two or more children per calendar year
7	Family Care (Short-term)	To provide care to a family member with a condition requiring care.	Up to 5 days for one family member or up to 10 days for two or more family members per calendar year
8	Jury Service	To serve as juror or supplemental juror, or to become a candidate for jury duty.	Days and hours necessary for the purpose
9	Bone Marrow Donor	To register as a bone marrow donor, or to offer bone marrow to a person other than family members, or to take examinations and hospitalizations required for bone marrow donors.	Days and hours necessary for the purpose

5.3.17.5 University Holidays
University holidays shall be as follows:

i. Saturdays and Sundays; and
ii. Holidays specified in the Act on National Holidays (Act No. 178 of 1948).

iii. Year-end and New Year Holidays (from December 29 to January 3 of the following year)
iv. The president may specify extraordinary holidays when deemed necessary.

5.3.18. Childbirth Accommodation Policy

The OIST Graduate University promotes diversity and supports balance in work and family life. It recognizes the need to accommodate the demands on students associated with pregnancy, childbirth, and the care of children. The University encourages women to undertake postgraduate education and supports women who decide to have children while at graduate school. It also recognizes the demands on partners who share in the care of a newborn child, on parents who adopt, and foster parents. The Childbirth Accommodation Policy comprises a set of measures designed to accommodate these needs, supporting family life during graduate studies.

The measures are designed to make it possible to maintain the mother's full-time, registered student status before and after childbirth, and to facilitate her return to full participation in class work and research in a seamless manner. It is also designed to support partners, adoptive and foster parents sharing in the care of a newborn child.

This policy is intended to complement and not replace the communication and cooperation between student and academic mentor, thesis supervisor, and course coordinators in their good-faith efforts to accommodate the new family needs. It is the intention of this policy to reinforce the importance of that cooperation, and to provide support where needed to make that accommodation possible. A faculty member may not discontinue supervising a student's thesis research on the basis of the student's decision to give birth to, adopt or foster a child.

Summary of Provisions of the Childbirth Accommodation Policy

The Childbirth Accommodation Policy has four components:

(1) an Academic Accommodation Period of up to two consecutive academic terms around the time of the birth, during which the student may postpone course assignments, examinations, and other academic requirements;
(2) continuation of full-time registration as a graduate student with continued access to OIST facilities and housing during the Academic Accommodation Period;
(3) full financial support through the Academic Accommodation Period; and,
(4) leave from regular duties as a Research Assistant in accordance with the Maternity Leave provisions for Full-time employees, as follows:

<u>Prenatal Leave.</u> Research Assistants who expect to give birth within 6 weeks (14 weeks for multiple pregnancies) are granted prenatal maternity leave. When the actual delivery is after the expected delivery date, the additional

days are included in the maternity leave.

Postpartum Leave. Research Assistants are granted 8-week paid postpartum maternity leave after giving birth. In this period, the University may not require them to work. However, up on their request, the Research Assistant may return to work for duties approved by a doctor.

Eligibility

The Childbirth Accommodation Policy applies to registered OIST graduate students, who are anticipating or experiencing a birth, adoption, or delivery by surrogacy.

An Academic Accommodation Period can be granted to the father of the child or partner of the mother in cases where graduate student couples share the care of newborn children and the partner is the primary caregiver for the infant.

An Academic Accommodation Period can also be extended to the new parents after adoption, fostering a child, or the birth of a biological child using a surrogate to bring to term.

Planning for the Academic Accommodation Period

The student should initiate discussions with the academic mentor and the Dean of the Graduate School at least four months prior to the anticipated birth in order to make arrangements for an Academic Accommodation Period. These discussions should establish a timeline for academic issues (e.g., class attendance, rotations, examinations, thesis proposal, and other academic commitments) that will be affected by the birth of a child and by the postponement of academic requirements.

It is essential that students undertaking thesis research consult with the thesis supervisor well in advance of the birth. It is the student's responsibility to make arrangements with faculty and with graduate school administrators for course completion and for continuation of educational, research and professional development activities before and after the Academic Accommodation Period.

One of the purposes of the Childbirth Accommodation Policy is to make it possible for women to maintain their full-time student status. By remaining full-time students, the visa status of international students is not affected. Careful consultation should be undertaken to ensure that the implications for academic progress, visa status, and financial support have been thoroughly investigated. In completing the application for the Academic Accommodation Period, the student may optionally request up to two terms of part-time enrolment. If part-time enrolment status is approved, the student will retain all privileges of the Childbirth Accommodation Policy. Independent of making this request for part-time enrolment, if a serious medical problem were to arise for mother or newborn, the woman student would be eligible for extension of the period of Childbirth Accommodation Policy until the medical problem is resolved.

Residency requirements
The expectation is that the student will be in residence in Okinawa, and, assuming good health of the pregnant woman or new mother and the infant, will remain engaged in class work and research, even if at a reduced level.

Childbirth Accommodation Policy for students who are not in residence
A student may choose to take leave from the Academic Program and not be in residence for a period of time. In such a case a period of Non-study Leave may be granted in accordance with the Non-study Leave regulations (ref PRP 5.3.17.3) up to a maximum of two consecutive academic terms around the time of the birth. The student may postpone course assignments, examinations, and other academic requirements during the period of absence and extension of the period of study by the period of absence. Registration as a graduate student with continued access to OIST facilities and housing will continue during the Non-study Leave period. Financial support will be in accordance with the provisions for Full-time employees for prenatal leave and postpartum leave as detailed in the Maternity Leave provisions <ref>.

Applying for an Academic Accommodation Period
Graduate students anticipating or experiencing the birth of a child may formally apply for an Academic Accommodation Period of up to two consecutive academic terms around the time of the birth. This Academic Accommodation Period is *not* a leave of absence from University responsibilities.

The Childbirth Policy is administered by the Office of the Dean of the Graduate School through an application process. In that application, the student specifies the dates on which the Academic Accommodation Period begins and ends, with the requirement that the maximum duration is two consecutive terms. A letter from the student's health-care provider stating the anticipated delivery date must accompany the application. If the childbirth occurs prior to filing the application, the accommodation period begins on the birth date.

The Office of the Dean of the Graduate School will notify the student, the student's academic mentor, and the relevant University administrative offices that the Academic Accommodation Period has been approved, along with the dates for the accommodation period.

During and After the Academic Accommodation Period
Funding
Once a student submits an application, the Office of the Dean of the Graduate School will ensure that students whose applications have been approved will see no change in their financial support as Research Assistants.

Students who are supported by fellowships external to OIST must adhere to the rules of the granting agency with respect to absences from academic and research work. If the granting agency requires suspension of fellowship benefits the student will be eligible for substitute payment from OIST under the terms of a temporary Research Assistant agreement.

Duration
The student, academic mentor, and thesis supervisor (if applicable) should recognize that it might not be feasible to return to a regular research assistant assignment immediately after the accommodation period. In that case, arrangements should be made to assign limited on-site duties. These issues should be negotiated sensitively with the student's needs in mind. The student should work with the academic mentor, thesis supervisor, and Dean of the Graduate School to make arrangements for ongoing support beyond the accommodation period if unable to return to normal duties immediately.

The maximum duration of the Academic Accommodation Period is two consecutive academic terms. If need extends beyond this limit due to ongoing issues associated with childbirth, different leave provisions may apply depending on the nature of the issues. In such case the affected student should make the situation known to the Dean of the Graduate School as early as possible so that measures can be taken.

Coursework and Research Activities
Approval of an Academic Accommodation Period will include an automatic extension of due dates for assignments and other class work and research-related requirements. Faculty are expected to work with the student to make arrangements for submitting work for completion of requirements when the student returns.

Access to the Child Development Center
Students are strongly advised to register, at the earliest possible time, for the waiting list of the Child Development Center for access to on-campus nursery care and early childhood education.

Additional Comment
The Childbirth Accommodation Policy establishes *minimum* standards for accommodation for a graduate student giving birth or acting as the primary caregiver for a newborn or adoptive infant. It is expected that academic mentors, faculty, and the graduate school administration will work with sensitivity and imagination to provide more than this minimum, according to the particular circumstances of the student. For example, women whose research involves working with toxic chemicals or fieldwork may need some form of accommodation during the entire pregnancy and during lactation. Taking care of an infant is time-consuming and sleep-depriving, so advisors need to have realistic expectations

about rates of progress on research. For their part, new parents need to keep the lines of communication with their advisors open, and demonstrate to their advisors that they are academically engaged and making progress on coursework and research, even if it is at a somewhat slower pace than prior to giving birth. In other words, the Childbirth Accommodation Policy is intended to support—not replace—the open communication and good will that should characterize the relationship between student, mentor and thesis supervisor at the Graduate University.

5.4. Student support

5.4.1. Financial support for students

The mission of OIST is to create an international graduate university that is best in the world. This requires attracting the best students in the world. Other leading international universities at this level provide support for tuition costs and living expenses. The OIST Graduate University offers financial support comparable to that offered by other leading research universities.

5.4.1.1. OIST Graduate University Research Assistantship and Senior Research Assistantship (Assistantships)

OIST Graduate University Research Assistantships and Senior Research Assistantship (hereafter, Assistantships) are awarded to students on full-time study in the doctoral program at the OIST Graduate School. A student in good standing who performs research or who assists others in performing research and educational activities is registered as a Research Assistant. A student in a thesis lab after the qualifying exam is registered as a Senior Research Assistant.

During tenure of the Research Assistant and Senior Research Assistant, the student must undertake full-time doctoral studies in Okinawa, unless a special case for exemption from this requirement has been previously approved by the Graduate School.

The maximum tenure of a Research Assistant is normally two years and three years for a Senior Research Assistant. Students are expected to complete the requirements for graduation within the five year period. In case of early completion of requirements, Senior Research Assistant is continued for four weeks after the date of degree conferral, to allow time for completion of matters required for conclusion of the research project (such as archiving of the research records).

Continued financial support for students in the doctoral program depends on maintained performance in study and research, and is based on the provision of satisfactory annual Progress Reports. Assistantships will be discontinued in the event of unexcused absence, failure to

maintain adequate academic performance, unethical behavior, or other reasons determined by the academic oversight process to be incompatible with good standing.

Overseas tenure of a Research Assistant and a Senior Research Assistant is not normally permitted. In exceptional circumstances, a period of overseas tenure may be granted by the Graduate School, if it can be shown that access to research guidance, facilities or opportunities overseas is essential to the completion of the project.

Assistantships are subject to annual confirmation of the Budget status and are paid in equal monthly installments. Standard remuneration of the OIST Graduate University Assistantships is about 3.0 million yen per year including the amount equivalent to tuition fee. However, if the Research Assistant is awarded for tuition waiver, the amount equivalent to tuition fee is not provided.

5.4.1.2. External fellowships and awards

While the University maintains financial support system, students are strongly encouraged to apply for external fellowships. In order to reward success, remuneration provided by the university as an OIST Graduate University Assistantships or Teaching Fellowship including the amount equivalent to tuition fee may be used to supplement external fellowships, up to a maximum of 3.6 million yen total. An OIST Graduate University Assistantships or Teaching Fellowship may be held concurrently with external scholarship on this basis. There is an obligation on the student to report external fellowships to the Graduate School office.

5.4.1.2.1. Teaching Fellowship

The University may offer special appointment as a Teaching Fellow to a student who had been recognized for academic and research excellence by an external award (JSPS scholarship etc.) In such cases payment is made on a fixed-hours basis. It is still necessary to record the teaching activity and hours for the individual academic record. Students applying for special appointment as a Teaching Fellow should apply with the required documents through the online web form.

Appointment of Teaching Fellows will be made by the Curriculum and Examinations Committee.

Service as a teaching fellow is normally paid. This depends on the availability of budget, and the nature of the activity. When payment is possible it is made on an hourly basis for the contact hours and preparation time. Paid preparation time, when necessary, is based on a maximum of 4 hours preparation for 1 hour of contact time. Details

of the conditions of service are separately stipulated.

5.4.1.2.2. Tuition waiver

The University may offer full amount tuition waiver to those who are recognized for their excellence in performance of research work by external awards (JSPS scholar etc.). Students applying for tuition waiver should apply with required documents through online web form. Application review and decision making will be made by the Curriculum and Examination Committee.

5.4.1.3. Financial Support in Exceptional Circumstances

In general, PhD funding at OIST is only for the standard period of study which is 5 years. A student who continues to make satisfactory academic progress in the program should be on course to complete within 5 years, and progress is reviewed each year to keep on this track. Faculty and students should plan a program that can be concluded, including write-up of the thesis, prior to the end of the 5th year.

In exceptional circumstances events beyond the control of the student may compel an extension of the 5 years. In such cases the duration of financial support may be extended by the Graduate School, subject to the availability of funds. In all cases, there must be a clear plan for completion, supported by the Thesis Committee. The following circumstances may be considered possible grounds for an extension:

1. Delays due to the vicissitudes of research.

Exceptionally, a student who is making satisfactory academic progress may be unable to complete their thesis research project in the timeframe due to research-related factors beyond their control. On the recommendation of the Thesis Committee, and approval of the Dean of the Graduate School (who may refer the matter to the Curriculum and Examinations Committee) extension up to 3 additional school terms (started from the beginning of each term using the terms defined in Article 17 of the University Rules) may be possible.

2. Change in thesis research laboratory.

This may occur because of the departure or incapacity of the supervisor, or because of a change of supervisor that has been approved by the graduate school. In such cases, subject to continued satisfactory academic progress, the financial support may be extended by the Dean of the Graduate School for the period necessary to complete the course of study. Continuation is subject to positive annual academic progress reviews.

3. Other extenuating circumstances.
Where there are other significant extenuating circumstances, the Dean of the Graduate School may grant an extension of up to three terms upon request with supporting documentation (e.g. a medical certificate). The extension shall start from the beginning of each term using the terms defined in Article 17 of the University Rules. Students who become responsible for the care of a new born or newly adopted child in the family may apply for an extension of the financial support period that takes into account the provisions of the Childbirth Accommodation Policy [link:].

Applications for extension of financial support should be made in writing to the Dean of the Graduate School by the end of the 4th year.

5.4.1.4. Travel support for educational purposes

The University does not provide grants for home leave. However, the University provides travel support for visiting an educational institution. The amount of support will be based on the lowest quote obtained from the University's PTAs for a round trip economy flight to the student's destination, no per-diem and lodging allowance will be provided. However, the hotel arrangement due to flight connections can be considered as a part of this travel support. As long as there is no hindrance to study and the Research Assistant work, it is possible to take paid annual leave or other types of leave during the travel period. This support is available once each year of study. For students who do not yet have an approved thesis supervisor, the travel is approved by rotation supervisor and the Dean of the Graduate School. When students do have an approved thesis supervisor, the thesis supervisor and the Dean of the Graduate School approve the travel. For details concerning visiting an educational institution, please refer to the OIST Guidelines for Student Travel.

5.4.1.5. Travel grants for students to attend conferences

Rules for travel grants for students to attend conferences and other educational activities are stipulated in PRP Chapter 29. For details concerning attending conferences and other educational activities, please refer to the OIST Guidelines for Student Travel.

5.4.1.6. Travel grants for career development

Rules for travel grants for students to attend domestic career events and other career activities are stipulated in PRP Chapter 29. For details concerning attending career events and other career activities, please refer to the OIST Guidelines for Student Travel.

5.4.1.7. Relocation

5.4.1.7.1. Transfer Allowance

Transfer Allowance can be provided stipulated in the table below:

Domestic	36,600 yen
International	62,800 yen

Family relocation allowance:

Spouse & Child 12 years of age or older = 2/3

Child under 12 years of age = 1/3

5.4.1.7.2. Relocation Expenses

Actual relocation expenses can be reimbursed up to the maximum level stipulated in the table below:

	Maximum level per household
Domestic	250,000 yen*
International	500,000 yen

*350,000 yen if transferring a car from mainland Japan

Reimbursement of relocation expenses can only be provided once.

If a Student voluntarily terminates the agreement within the first three months, OIST S.C. may request return of the total amount

provided. If the termination is due to unavoidable circumstances (including family health reasons), OIST S.C. may waive the claim regarding return of the above amount.

5.4.1.8. Commuting

In principle, students who live outside the campus and need to commute are expected to use the OIST shuttle bus.

5.4.1.8.1 Commuting Allowance

A commuting allowance may be paid to students who live outside of campus but cannot use the OIST shuttle bus for reasons deemed valid by the Dean of the Graduate School. Details on the allowance are stipulated separately by "Rules Pertaining to a Commuting Allowance for Students" [link] .

5.4.2. Assistance with visa requirements

The student support section provides assistance with student visas. Students must have completed visa requirements prior to registration. Students needing assistance must contact the student support section at least three months prior to registration dates. Students who do not have a valid student visa cannot be registered.

5.4.3. Student health and welfare

The mission of the student support section is to ensure a worry-free student experience at OIST. The student support section is the first point of contact for students in need of assistance.

5.4.3.1. Student health and counselling

OIST has a Campus Clinic service during working hours. If necessary, the clinic refers students to local health services. Excellent hospitals and clinics are available in Okinawa, and assistance with English and other languages is available.

Counseling services are available as separately described.

5.4.3.2. Insurance

5.4.3.2.1 Health Insurance

Subscription to National Health Insurance is a mandatory requirement and the cost will be covered by students. < ref: link to National Health Insurance info >

5.4.3.2.2 Personal Accident Insurance for Students Pursuing Education and Research (PAS), and Liability Insurance coupled with PAS (Gakkensai and Gakkenbai)

All students are covered by Gakkensai and Gakkenbai provided by Graduate School. <ref: link to Gakkensai and Gakkenbai>.

5.4.3.3. Childcare

Students needing childcare will be eligible to use on-campus early-childhood education facilities when these become available.

5.4.3.4. Recreational, cultural and social activities

The student support section supports the welfare of students by organizing and facilitating recreational, cultural and social activities.

5.4.4. Accommodation

Subsidized accommodation is provided for students living in the Campus Housing. All students are expected to live in the accommodation provided at least 1 year. If a student is required to live off-campus due to unavoidable circumstances, such as shortage of housing in the Campus Housing, the University may lease off-campus housing for residence of the student. (Please refer Student Rental Housing Rules [link:].)

5.4.4.1. On-Campus Housing

All On-Campus Housings have air conditioning in living room and bedrooms, and a gas cook-top in the kitchen. Furnished On-Campus Housings also have a full set of the basic furniture and furnishings needed for daily life. However, items such as video players, stereos, televisions, personal computers, etc. are not included. Additional facilities are available on the first floor of the Village Center including: residents support desk, linen/dry-cleaning service, convenience store, coin laundry, gym, clinic, student lounge, common use kitchen with full size appliances, and meeting/event rooms. A storage locker is provided for each apartment at street level.

On-Campus Housings are rented on an annual basis (rent is paid monthly in advance, but contract is for 1 year, and there is no refund for holiday periods etc.). Utility charges will be the responsibility of the students. Students will have to pay for electricity, gas, water, plus optional landline phone, fiber internet, and cable TV if required.

Rents are as follows:

Apartment type	Use	Floor Area	Net Rent (Furnished)	Net Rent (Unfurnished)
1LDK	Single	45 m²	21,600 yen/mth	13,600 yen/mth
2LDK	Single	70 m²	80,000 yen/mth	65,000 yen/mth
2LDK	2 Share*	70 m²	18,000 yen/mth*	10,500 yen/mth*
2LDK	Family	70 m²	41,000 yen/mth	21,000 yen/mth
3LDK	3 Share*	100 m2	Master BR: 20,000 yen/mth*	Master BR: 11,000 yen/mth*

			Other BR: 18,000 yen/mth*	Other BR: 10,000 yen/mth*

* This applies only when both occupants are students.

Minor change in rates on the order of 10% is possible.

An application for housing should be made on the application form available from the Facility Management section.

5.4.4.2. Off-Campus Housing
If a student is required to live off-campus due to unavoidable circumstances, such as shortage of housing in the Campus Housing, the University may lease off-campus housing for residence of the student. (Please refer Student Rental Housing Rules.)

5.4.4.3. Payment
Rent, Utilities (if applicable) and other necessary costs will be deducted from the emolument of the Research Assistantship. Those who do not have Research Assistantship will be billed.

5.5. Categories of students

The OIST Graduate University recognizes a student body comprising full-time PhD students registered in the OIST graduate program, and also Special Students who are attending OIST for educational purposes but not seeking the OIST degree. The Graduate School aims to ensure an optimal experience for all students at OIST and provides various kinds of support for students in different categories. The main categories of student defined in Article 43 of the University Rules [link:] are (1) Registered OIST PhD Students or (2) Special Students in several categories.

5.5.1 Registered OIST PhD Students

All provisions concerning students in the OIST PhD Program including financial support as a Research Assistant, are stipulated in the Graduate School Handbook Chapter 5 [link:] and are not elaborated here.

5.5.2 Special Students

Special Students are persons other than registered OIST PhD students, who are undertaking educational activity in the Graduate School. There are several categories of Special Student:

Category	PRP	Eligibility	Period

Special Research Student <Tokubetsu-Kenkyu-Gakusei>	5.5.2.1.	Students receiving research guidance or co-supervision toward a degree. (A written agreement with the partner institution is required.)	6 months and longer
Research Intern	5.5.2.2.	Students obtaining research experience under the direction of an OIST professor.	Up to 6 months
Visiting Research Student	5.5.2.3.	Students participating in a research project as part of a recognized collaboration, or some other defined research project under the supervision of an OIST professor.	Up to 364 days
Visiting Students <Kamoku-Tou-Risyuusei>	5.5.2.4.	Students taking courses at OIST for credit at another university	Academic term
Course Auditors <Choukousei>	5.5.2.5.		Academic term
Junior Research Fellows	5.5.2.6.	Students whose thesis supervisor acknowledges that they need to conclude their research project after the degree conferral at OIST.	Up to 6 months

These categories are separately considered in the following sections.

5.5.2.1 Special Research Students <*Tokubetsu-Kenkyu-Gakusei*>

Students of other universities (referred to as the "partner institution") who are permitted by the partner institution to receive research guidance at the OIST Graduate University under the terms of an agreement with the partner institution, may apply to become Special Research Students at OIST. Special Research Students are not OIST PhD degree candidates and there is no mechanism to change the status of a Special Research Student to become an OIST PhD student except by application to the OIST graduate program in the usual way.

Candidates for Special Research Student status must obtain approval from the Dean of the OIST Graduate School and Dean of Research of the OIST Graduate University. The Dean of the Graduate School will make a recommendation to the Dean of Research after consultation with the OIST research supervisor and partner institution. In general, such applications will be approved provided this poses no obstacles to the education and research activity of the Graduate School.

Faculty members of the OIST Graduate School can provide supervision to Special Research Students of the partner institution under the terms of an agreement with the partner institution. The period for which a student can receive research guidance as a Special Research Student must be stipulated in the agreement. This term is normally for one year, subject to renewal as needed. Upon the completion of the period of supervision at OIST, or annually, the OIST supervisor is required to submit a written report on the student to the Dean of the OIST Graduate School.

Special Research Students can take OIST courses as Course Auditors (see **5.5.2.5.**) or receive credits at their home University for completion of courses at OIST as Visiting Students (see **5.5.2.4.**).

Special Research Students must observe OIST Graduate University rules as defined in the Graduate School Handbook and the OIST Graduate University PRP. Rules concerning Intellectual Property are separately stipulated in Chapter 14. Special Research Students who violate the rules of the OIST Graduate University may be disqualified and have their research guidance terminated.

Special Research Students enjoy many of the same privileges of students for full-time study in the doctoral program in the University, with the exception of Financial Support, which is handled differently.

5.5.2.1.1. Students of newly-hired faculty

Students of newly hired faculty who relocate to OIST before completion of their PhD degree may need special arrangements

to facilitate the successful completion of their PhD. If the student is able to complete their research at OIST while continuing to be enrolled at their original home institution, they can be received as Special Research Students receiving research guidance from the relocating faculty member. Such students would graduate with a degree from the home institution.

Students who desire to transfer their degree studies to the OIST Graduate University and graduate with the OIST degree must apply for admission as full-time graduate students. These candidates follow standard OIST admission procedures and selection is on a competitive basis with other applicants. Selected candidates are admitted to the OIST program and follow the OIST curriculum, according to the program outlined in Chapter 5.

5.5.2.1.2. Procedures for Special Research Students

Special Research Students must be formally accepted and registered as Special Students at the OIST Graduate University in accordance with Article 43 of the University Rules [link:]. The Graduate School must be notified of the intention to host the student by the Professor of the Research Unit in a timely manner (at least 6months prior to the expected start date). The procedure for acceptance and registration requires the student to submit the documents listed below:

i) Application for admission as a Special Research Student (using the appropriate Form)
ii) Recommendation letter from thesis supervisor in the partner institution
iii) Brief outline of arrangements and plan of research at OIST from the OIST supervisor
iv) Copy of transcript of the current degree at the home institution
v) Brief Curriculum Vitae of the applicant
vi) Digital image of student's photograph (on a white background) and a scan of the information page of the passport if a visa is required

In general, a written agreement with the partner institution is required to confirm the understanding of the arrangements and agreement of the partner institution. It is important that the degree requirements of the partner institution can be met at OIST. The Graduate School will complete such an agreement with the partner institution. Such an agreement may allow for mutual waiver of tuition fees. Where such an agreement does not exist, tuition fees may be charged to the student.

After acceptance of the student, the Graduate School will make a recommendation to the Research Unit concerning the conditions of financial support for the Special Research Student. The student must declare any external financial support from the partner institution or external funding agency and this will be taken into account in determining the recommended level of financial support and benefits at OIST.

If a Special Research Students is elected by OIST as a Graduate Student Research Assistant, the level of financial support and conditions of appointment are stipulated in the SRS Research Assistantship Agreement prepared by the Student Support Section. If the Special Research Student is not receiving this financial support, the conditions of appointment will be stipulated in an offer letter that will constitute the agreement between OIST and the Special Research Student after it is signed by both parties.

The host Research Unit is responsible for making travel and housing arrangements for the Special Research Student. As necessary, the Student Support Section will assist with visa processing requirements. Housing is available to Special Research Students at student rates (see above, section 5.5.2.1.3.6.).

5.5.2.1.3. Financial Support for Special Research Students

No financial support is available from the Graduate School or other central fund at OIST. In some circumstances, financial support for Special Research Students may be available from the host research unit, in which case financial support for Special Research Students, including salary SRS Research Assistantship and other benefits, should be included in the budget of the host research unit. Students seeking such support must organize this with the Professor of the host research unit in advance.

The following benefits may be available to Special Research Students on the advice of the Graduate School with approval of the Dean of Research and agreement of the Professor of the host Research Unit.

5.5.2.1.3.1. SRS Research Assistantship

A SRS Research Assistantship is an appointment provided to a Special Research Student in good standing who performs

research or who assists others performing research and educational activities.

Tenure of a SRS Research Assistantship is for one year, or until he thesis is submitted (whichever period is the shorter). Continued financial support depends on maintained performance in study and research with an official request from the host research Unit. SRS Research Assistantships will be discontinued in the event of unexcused absence, failure to maintain adequate academic performance, unethical behavior, or other reasons determined by the academic oversight process to be incompatible with good standing.

5.5.2.1.3.2. Business travel
Approved business travel for work may be undertaken in accordance with OIST PRP Chapter 29. For the purpose of business travel, Special Research Students are considered as Category Group 5 employees. Support for such travel must come from the Research Unit, not the Graduate School.

5.5.2.1. 3.3. Relocation

5.5.2.1.3.3.1. Transfer Allowance Transfer Allowance can be provided stipulated in the table below:

Domestic	36,600 yen
International	62,800 yen

Family relocation allowance:
Spouse & Child 12 years of age or older = 2/3
Child under 12 years of age = 1/3

5.5.2.1.3.3.2. Relocation Expenses
Special Research Students normally receive support for round trip travel (or two one-way tickets) and no relocation expenses. However, a Special Research Student may alternatively choose to receive a one-way ticket and relocation expenses at the following rate.

	Maximum level per household
Domestic	250,000 yen*
International	500,000 yen

*350,000 yen if transferring a car from mainland Japan

Reimbursement of relocation expenses can only be provided once.

If a Special Research Student voluntarily terminates the agreement within the first three months, OIST S.C. may request return of the total amount provided. If the termination is due to unavoidable circumstances (including family health reasons), OIST S.C. may waive the claim regarding return of the above amount.

5.5.2.1.3.4. Commuting

A commuting allowance may be paid to students who live outside of campus but cannot use the OIST shuttle bus for reasons deemed valid by the Dean of the Graduate School. Details on the allowance are stipulated separately by "Rules Pertaining to a Commuting Allowance for Students".

5.5.2.1.3.5. Insurance

All Special Research Students must join the National Health Insurance scheme. They are covered by Accident Insurance for Students Pursuing Education and Research (PAS), and Liability Insurance coupled with PAS (Gakkensai and Gakkenbai) provided by Graduate School.

5.5.2.1.3.6. Accommodation

Subsidized accommodation is provided for Special Research Students living in the Campus Housing. If a Special Research Student is required to live
off-campus due to unavoidable circumstances, such as shortage of housing in the Campus Housing, the University may lease off-campus housing for residence of the student. (Please refer Student Rental Housing Rules.)

5.5.2.1.3.6.1. On-Campus Housing

Special Research Students have access to the Campus Housing at student rates.

Apartment type	Use	Floor Area	Net Rent (Furnished)	Net Rent (Unfurnished)
1-BR	Single	45m²	21,600 yen/mth	13,600 yen/mth
2-BR	Single	70m²	80,000 yen/mth	65,000 yen/mth
2-BR	2 Share*	70m²	18,000 yen/mth*	10,500 yen/mth*
2-BR	Family	70m²	41,000 yen/mth	21,000 yen/mth

*This applies only when both parties are registered OIST graduate students.

Minor change in rates on the order of 10% is possible.

5.5.2.1.3.6.2. Off-Campus Housing

If a Special Research Student is required to live off-campus due to unavoidable circumstances, such as shortage of housing in the Campus Housing, the University may lease off-campus housing for residence of the student.
(Please refer Student Rental Housing Rules.)

5.5.2.1.3.6.3. Payment

Rent, Utilities (if applicable) and other necessary costs will be deducted from the emolument of the SRS Research Assistantship. Those who do not have SRS Research Assistantship will be billed.

5.5.2.2. Research Interns

Previously registered, current, or intending students of another university who wish to undertake educational activity at OIST may do so as Research Interns. Research Intern placements give talented students experience working in a research setting under the direction of a Professor at OIST.

The Graduate School administers a limited number of Research Intern positions as part of its student recruitment and outreach program. Research Interns may also be supported by Research Units with approval of the Dean of the Graduate School, provided this poses no obstacles to the education and research activities of the Graduate School. Places for Research Interns are awarded four times a year on a competitive basis, with application typically six months in advance.

5.5.2.2.1. Eligibility

Students enrolled at undergraduate programs in universities, colleges, junior colleges, and vocational schools in Japan or overseas, or graduates of such institutions who intend to undertake further study are eligible to apply.

Applications from students who are already in PhD programs at other universities will also be considered, but undergraduate students will receive preference for funding from the Graduate School.

The applications of high ranking applicants who are already in PhD programs will be forwarded to the Faculty for consideration of placement in research units, supported by research unit funds.

Applications from currently enrolled students must be supported by a recommendation letter from the Dean, Head of Department, or supervising professor of the program they are enrolled in.

5.5.2.2.2. Application

Places for Research Interns are awarded four times a year on a competitive basis. Application must be made using the online application form in accordance with the procedures and deadlines that are posted on the OIST website [link]. Sufficient time must be allowed for the issue of a visa and other necessary Japanese government documentation.

Selection is competitive, and depends on suitability of the intended research, a student's academic background, and available funding and space. Professors accepting students under these programs will review the student's qualifications, research capabilities, and academic training in a comprehensive manner.

5.5.2.2.3 Duration

The tenure of Research Intern placement is normally less than 6 months. Under no circumstances may tenure be extended more than 1 year. Under some circumstances with approval of the Dean of the Graduate School, students may stay longer than 1 year as Special Research Students provided application to change status is made at least 6 months before starting to allow time for the necessary institutional agreement.

5.5.2.2.4. Working Days and Hours

The working days are from Monday to Friday, excluding University Holidays [link]. The working hours are from 9:00am to 5:30pm.

5.5.2.2.5 Financial Support

OIST expects that such Research Interns are independently funded but provides a small internship allowance, commuting support (where necessary), and accommodation either on campus or nearby. Successful applicants will receive a taxable Internship Allowance of ￥2,400 per work day, while at OIST. No internship allowance will be paid for University Holidays [link], or for working days on which Research Interns work less than four hours. In addition, where necessary, OIST will also provide up to a maximum of ￥45,000 per month as a Commuting Allowance and up to a maximum of ￥3,500 per day

as Overnight Accommodation Costs (instead of provision of accommodation costs, accommodation is normally provided at no cost to the student). The Internship Allowance will be adjusted if the Research Intern has another source of financial support. There is an obligation on the Research Intern to report other sources of financial support to the Student Support Section before their arrival. The amount of other support will be taken into account in determining the level of the financial support provided by OIST.

5.5.2.2.6 Leave

Research Interns may take unpaid leave during the internship provided: the total leave days number less than 10% of the total duration of the work days of the internship; the leave is approved by their supervisor; the Student Support Section is informed by submitting a leave request through the website [link]; there is no hindrance to their research activities.

5.5.2.2.7 Travel

OIST will pay for one direct round-trip travel for Research Interns between the home university or institution and the Research Unit or other facility where the internship will take place (usually Okinawa). The travel dates must be as close as possible to the term of the placement. On departure from OIST, overseas students may additionally stop over for up to 5 days (excluding weekends and Japanese holidays) as they transit through an international hub airport in Japan, at the rate of one day per week of tenure at OIST, provided that this poses no additional cost in terms of flights, and that they do so entirely at their own expense.

5.5.2.2.8 Other Support

The Student Support Section of the Graduate School will provide support for Research Interns at OIST with matters such as housing, visa acquisition, insurance during their research activities, and local registration. OIST regrets that support for dependents, family members, and persons other than the student is not available. Confirmation of sufficient and appropriate insurance coverage for travel and activities is necessary.

5.5.2.3. Visiting Research Students

Visiting Research Students are registered students of another institution who wish to undertake a period of research at OIST under the supervision of an OIST faculty member as part of a recognized collaborative research project or some other defined research project.

5.5.2.3.1. Eligibility

This category provides for students enrolled for higher degrees at other institutions and engaged in research activity who wish to come to OIST to engage in a recognized collaborative research project, or some other defined research project.

This research project must be covered by a Visiting Research Student Agreement, completed before the start of the research period. Applications to host a Visiting Research Student are approved by the Dean of the Graduate School, provided this poses no obstacles to the education and research activities of the Graduate School.

5.5.2.3.2. Procedure for Visiting Research Students

Visiting Research Students must be formally accepted and registered as Special Students at the OIST Graduate University in accordance with the University Rules. The Graduate School must be notified of the intention to host the student by the Professor of the Research Unit in a timely manner. The procedure for acceptance and registration requires the student to submit the documents listed below:

i) Application for admission as a Visiting Research Student (using the appropriate Form)
ii) Visiting Research Student Agreement
iii) Brief outline of arrangements and plan of research at OIST from the OIST supervisor (attachment 1 for Visiting Research Student Agreement)
iv) Brief Curriculum Vitae of the applicant
v) Digital Image of student's photograph
vi) Copy of Student ID Card at home institution

5.5.2.3.3 Duration

The maximum tenure of a Visiting Research Student is 364 days.

5.5.2.3.4 Financial Support

Visiting Research students who are part of a collaborative research project in general bring their own funding. If necessary, the host Unit may support the visiting research student with travel, accommodation and a daily allowance, in accordance with OIST PRP Chapter 29.

5.5.2.4 Visiting Students <Kamoku-Tou-Risyuusei>

Visiting Students are registered students of another university who wish to take one or more courses offered by the OIST Graduate School for credit at their home university. With the prior permission of the Dean,

who will take into account such factors as class size, such a student may enroll as a Visiting Student. Applications for admission as a Visiting Student must be received one month before the start of the course, using the appropriate form (see Forms). Credit cannot be awarded to course auditors who are not formally enrolled as Visiting Students.

Registered graduate or undergraduate students of another university who seek credit for attending OIST International Workshops and Courses may enroll in approved courses as Visiting Students. Admission of Visiting Students to OIST International Workshops and Courses is decided by the course organizers. The process for approval of International Workshops and Courses for course credits is stipulated in Section 5.3. [link: 5.3.].

Research Interns who intend to apply for admission to the OIST graduate program, or who have been admitted but wish to start early, may enroll for courses and receive credit at the OIST graduate university as Visiting Students. The Graduate School will provide, on request, an individual student transcript of courses completed.

5.5.2.5 Course Auditors <Choukousei>

Members of the OIST community (including faculty, researchers, OIST students and special research students, research interns, administrative staff, and family members) may apply to become Course Auditors of specific courses. A formal request must be made to the Graduate School for permission to attend classes (see Forms). Where the presence of Course Auditors or their different level of background knowledge would impact on the quality of teaching of regular students, we reserve the right to decline such requests. The Professor in charge of a course has the final word on accepting Course Auditors and the behavior expected of them. An Auditing Student may attend and participate as a normal student. The Graduate School does not award credit or recognition for courses attended. Course Auditors are required to attend regularly so as not to disturb class numbers. At the discretion of the Professor in charge of a course, they may submit work for grading along with regular students. Information concerning current classes, times, and locations is available on the Graduate School website [link:].

5.5.2.6. Junior Research Fellows

Junior Research Fellows are the students whose thesis supervisor requests a continuation of their research project after the degree conferral at OIST.

Students in this category are registered as Special Students. The

duration is up to a maximum of 6 months. Under no conditions can this be extended beyond 6 months by the use of subsidy funding or external grants, provided that, students who have time remaining more than 6 months on a JSPS DC Fellowship are permitted to continue until the end date of the Fellowship. A concrete research plan approved by their thesis supervisor and the Dean of the Graduate School is required.

Financial support for Junior Research Fellows may be available from the host research unit. Financial support for Junior Research Fellows, including fellowship and other benefits, should be included in the budget of the host research unit. Students seeking such support must organize this with their thesis supervisor in advance.

Junior Research Fellows enjoy many of the same privileges students for full-time study in the doctoral program in the University, with the exception of Financial Support, which is handled differently.

Appointment to a postdoctoral position at OIST is not permitted for OIST PhD students within 2 years of the last day of their studentship at OIST.

5.5.2.6.1. Procedures for Junior Research Fellows
Junior Research Fellows must be formally accepted and registered as Special Student at the OIST Graduate University in accordance with Article 43 of the University Rules. The Graduate School must be notified of the intention to host the student by their thesis supervisor (preferably 3 months prior to the expected start date and at least 1 month prior to the start date). The procedure for acceptance and registration requires that the student submits the documents listed below:

i) Application for admission as a Junior Research Fellow (using the designated Form)
ii) Recommendation letter from thesis supervisor
iii) Brief outline of arrangements and plan of research from thesis supervisor
iv) Clear plan for employment after termination.

After acceptance of the student, the Graduate School will make a recommendation to the thesis supervisor concerning the conditions of financial support for the Junior Research Fellow. The student must declare any external financial support from funding agency and this will be taken into account in determining the recommended level of financial support and benefits at OIST.

If a student is admitted by OIST as a Junior Research Fellow, the level

of financial support and conditions are stipulated in the Junior Research Fellowship Agreement prepared by the Student Support Section. If the Junior Research Fellow is not receiving this financial support, the conditions of appointment will be stipulated in an offer letter that will constitute the agreement between OIST and the Junior Research Fellows after it is signed by both parties.

5.5.2.6.2. Financial Support for Junior Research Fellows
A Junior Research Fellowship is an appointment provided to a Junior Research Fellow whose thesis supervisor acknowledges the necessity to continue their time for completion of matters required for conclusion of the research project after the degree conferral for up to 6 months.

5.5.2.6.2.1. Junior Research Fellowship
A Junior Research Fellowship is an appointment provided to a Junior Research Fellow whose thesis supervisor acknowledges the necessity to continue their time for completion of matters required for conclusion of the research project after the degree conferral for up to 6 months.

5.5.2.6.2.2. Business travel
Approved business travel for work may be undertaken in accordance with OIST PRP Chapter 29. For the purpose of business travel, Junior Research Fellows are considered as Category Group 5. Support for such travel must come from the Research Unit.

5.5.2.6.2.3. Commuting Allowance
A commuting allowance may be paid to students who live outside of campus but cannot use the OIST shuttle bus for reasons deemed valid by the Dean of the Graduate School. Details on the allowance are stipulated separately by “Rules Pertaining to a Commuting Allowance for Students”

5.5.2.6.2.4. Insurance
All Junior Research Fellows must join the National Health Insurance scheme. They are covered by Accident Insurance for Students Pursuing Education and Research (PAS), and Liability Insurance coupled with PAS (Gakkensai and Gakkenbai) provided by Graduate School.

5.5.2.6.2.5. Accommodation
The Graduate School continues to provide the current subsidized apartment at student rates to Junior Research Fellows until the end of their Junior Research Fellow status. Rent, Utilities (if applicable) and other necessary costs will be deducted from the emolument of the Junior Research Fellowship. Those who do not have Junior Research Fellowship will be billed.

5.6. Improvement of education

5.6.1. Basic Policy of Faculty Development

The Graduate University must maintain and improve the quality of its Faculty in order to provide an outstanding education at OIST and to meet the different educational needs of each student. 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.

5.6.2. Methods

Specifically, the Graduate University will conduct the following:

5.6.2.1. Teaching Guidelines

The Faculty Development section of the Office of the Dean of the Graduate School will create, maintain and distribute guidelines for quality teaching to ensure uniform best-practice teaching standards are observed at OIST.

5.6.2.2. Student Teaching Evaluations

Students will evaluate each course at the end of the course. The results of such evaluations will be distributed to the teacher, and will also be available to students. The student responses to a standard subset of questions will be reported to the Office of the Dean of the Graduate School. The Faculty Development section of the Office of the Dean of the Graduate School will assist the teacher to respond appropriately to this feedback.

5.6.2.3. 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 teacher. The date of such observation will be reported to the Office of the Dean of the Graduate School, and the observer will discuss their observations with the teacher in a collegial and supportive manner.

5.6.2.4. Teacher Training

The Faculty Development section will arrange training sessions, and workshops for faculty development from suitably qualified facilitators, in order to enhance the teaching ability of OIST Faculty members.

5.6.2.5. 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 Faculty Development section will implement these methods to ensure the improvement of the education and research of the Graduate University.

5.7. Library

Reference to the chapter 6 University Library.

5.8. Computers

OIST PhD Students will be provided with a standard laptop computer adequate for their basic needs for communication, coursework and thesis writing during their time at OIST. Research units are to provide for any additional computer needs as required for the students' research during lab rotations and/or their thesis research if students' supervisors deem it necessary.

Use of the Graduate School issued computers must conform with the chapter 17 Information Technology and Security.

5.9. Administrative rules

5.9.1. Academic progression requirements

The OIST Graduate University is committed to early identification and support of students who are not meeting academic progression requirements, and to maintaining academic standards of students in the PhD program.

5.9.1.1 Identification of unsatisfactory academic progress

The Curriculum and Examination Committee annually reviews the academic records of all students. Students who show signs of not meeting academic progression requirements are identified by review of course and rotation evaluations, conducted by the Dean of the Graduate School at the end of each term, or by the PhD Thesis Committees on the basis of annual progress reports. The Dean of the Graduate School notifies the Committee of any students who are failing to meet academic progression requirements. Students who are not meeting progression requirements are alerted by the Dean of the Graduate School and provided assistance to address issues affecting progress.

Satisfactory academic progression requires:

1. A level of performance in courses and rotations meeting all of the following criteria:

i. Completing an approved program of elective coursework with at least a “Pass” evaluation in all courses, at a rate sufficient to meet the cumulative credit requirements for progression to thesis research and graduation;
ii. Completing all compulsory coursework with at least a “Pass” evaluation;
iii. Completing all required rotations with at least a “Pass” evaluation;
iv. Achieving overall satisfactory progress as determined in annual evaluation by the Curriculum and Examinations Committee. The Curriculum and Examinations Committee may require a minimal evaluation higher than a “Pass” in the overall academic performance of the student.

2. Satisfactory progress in research defined by the following criteria:

i. Timely development by the student of research goals that can be realized at the OIST Graduate University.
ii. Submission of a Thesis Proposal within nine months of commencing Preliminary Thesis Research.
iii. Passing the qualifying examination for advancement to candidacy within twelve months of commencing Preliminary Thesis Research.
iv. Satisfactory Annual Progress Reports
v. Completion of the PhD thesis within five years of commencing the program

Unsatisfactory academic progress is defined as failure to meet any of the criteria listed above, as determined by the Curriculum and Examinations Committee.

In the case of established unsatisfactory academic progress the Committee may recommend probation or termination of candidacy.

Probation is an option if satisfactory progress can be achieved by (a) repeating and passing a failed unit (course or rotation); or, (b) substituting and passing an approved alternative unit. If the Committee recommends probation the Dean of the Graduate School alerts the student and explains the conditions the student must meet for satisfactory academic progress.

Discontinuation is applied if a student fails a repeated or substituted course or rotation, or fails to make satisfactory progress in research.

5.9.2. Discontinuation of studies

Discontinuation for unsatisfactory academic progress

Students in the PhD program may be discontinued for unsatisfactory academic progress. In such cases the Dean of the Graduate School may order the discontinuation of that student upon obtaining permission from the President, and with endorsement of the decision by the Curriculum and Examinations Committee.

5.10. Committees of the Graduate School

5.10.1. Admissions Committee

The Admissions Committee is a standing committee of the University with delegated authority from the Faculty Assembly to select students for admission to the PhD program, and is advisory to the Dean of the Graduate School. The main purpose of the Admissions Committee is to deliberate and advise on matters related to graduate student recruitment and admissions, to ensure the recruitment and selection of excellent students. It has a particular role in the selection of individual candidates for admission to the graduate program. The Admissions Committee reports to the Assembly through the Dean of the Graduate School.

5.10.1.1. Membership of the Committee

The Committee includes faculty members representing the major fields of research and education at OIST who are charged with providing advice on matters requiring academic input. The Dean of the Graduate School appoints Committee members. The Dean of Research, Manager, Academic Services Section, and Manager, Student Support Section are

ex-officio members of the Committee. The Academic Services section provides administrative support for the Committee.

5.10.1.2. Chairperson of the Committee

The Dean of the Graduate School shall preside at meetings of the Committee.

5.10.1.3. Frequency of convocation

The Chairperson will call meetings of the Committee at least two times per year.

5.10.1.4. Items to be discussed at meetings of the Committee

The Committee may consider specific matters as follows:

i Graduate student admissions
ii Graduate student recruiting
iii Other matters

The Committee may also deliberate on policy matters in relation to admissions.

5.10.1.5. Meetings of the Committee

i If there is not a majority of the members with voting rights in attendance, the Committee shall not transact its business.
ii Resolutions of the Committee shall be passed by a majority. The Chairperson shall make a decision in case of tie in votes
iii As deemed necessary by the Chairperson members may participate in the Committee meeting by teleconference and exercise voting rights. Absent members may not exercise voting rights.
iv As deemed necessary by the Chairperson faculty members other than members of the Committee may be invited to attend the meeting and participate in proceedings or serve as advisors on panels. This may occur, for example, to ensure that certain fields of expertise are represented, or to achieve diversity.
v The agenda and decisions of the Committee shall be made available to all Faculty Assembly members.
vi The Committee shall include a member who is charged with ensuring that issues of diversity and equal opportunity are properly addressed. This shall be a trained member of staff from the diversity office or a member of the committee who has received appropriate training.
vii Members of the committee or panels must declare conflicts of interest or the appearance of a conflict when these exist. Conflicts of interest occur when a candidate has any of the following relationships to the Committee member or advisor:

(a) Former or present student;
(b) Student for whom the member has written a supporting letter;
(c) Former or current business partner or employer;
(d) Close friend or partner;
(e) Family member (spouse, child, sibling, sibling of spouse or child of sibling).

The existence of a conflict of interest is not a barrier to the selection of a candidate. However, special procedures must be followed to ensure the integrity of the process and the fair treatment of the candidate.

5.10.1.6. Procedures for dealing with a conflict of interest

Prior to a committee meeting in which a member of the Committee or advisor has a conflict of interest, the committee member having a conflict of interest shall disclose all facts that are relevant to the conflict of interest. Such disclosure shall be reflected in the minutes of the meeting. If a committee member is aware that members or advisors have a conflict of interest, they shall disclose the relevant facts. If an undeclared conflict of interest is discovered and the procedures have not been followed the matter shall be referred to the President, who will determine the course of action to be taken in response.

<u>Conflict of Interest in Relation to Applicants Who Are Family Members</u>

There is no barrier to the candidacy or selection of a candidate who is a family member provided that proper procedures are followed. In the case of a family member, the conflict of interest shall be declared in writing to the Chairperson of the Admissions Committee. The committee member or advisor concerned shall thereafter take no part in the evaluations of any candidates or the decisions of the committee, and shall not have access to the proceedings and records of the committee, with respect to any other candidate, until a decision about the candidate who is a family member has been made.

The written declaration shall include the date of the declaration, the name of the committee member, the name of the candidate, and the nature of the relationship of the committee member to the candidate. The declaration shall include the following statement:

"I hereby recuse myself from any evaluation or decisions concerning the above candidate, and any other candidate in the same round of applications, immediately and until a decision about the above candidate has been made."

Other Conflicts of Interest

In the case of other conflicts of interest, the conflict shall be declared to the Chairperson, who shall ensure that the committee member concerned takes no part in the decision of the committee with respect to the candidate, by requiring the member to leave the room when the candidate is discussed, or stronger measures as considered necessary by the Chairperson.

5.10.2. **Curriculum and Examinations Committee**

The Curriculum and Examinations Committee is a standing committee of the University with delegated authority from the Faculty Assembly to deal with matters related to the curriculum and individual student progress in the PhD program, and is advisory to the Dean of the Graduate School. The Curriculum and Examinations Committee reports to the Assembly through the Dean of the Graduate School.

5.10.2.1. Membership of the Committee

The Committee includes faculty members representing the major fields of research and education at OIST who are charged with providing advice on matters requiring academic input. The Dean of the Graduate School appoints Committee members. The Dean of Research, Manager, Academic Services Section, and Manager, Student Support Section are ex-officio members of the Committee. The Academic Services section provides administrative support for the Committee.

5.10.2.2. Chairperson of the Committee

The Dean of the Graduate School shall preside at meetings of the Committee.

5.10.2.3. Frequency of convocation

The Chairperson will call meetings of the Committee on the First Monday of every second month.

5.10.2.4. Attendance at meetings

Since a majority of the members with voting rights is required for a quorum, voting members of the committee who miss three successive regularly scheduled meetings, or who miss five or more of the regularly scheduled meetings in a calendar year, will automatically be discharged from the committee, with the following exceptions: members who attend electronically, members who submit written comments on agenda items, members who are scheduled to teach at the time of the meeting.

5.10.2.5. Items to be discussed at meetings of the Committee

The Committee deliberates on matters related to the curriculum and individual student progress in the PhD program.

The committee deals with:

· Individual student program (by review of program proposals)
· Individual student progress (by review of annual progress reports)
· Approval of thesis proposals and progression to thesis research
· Appointment of thesis supervisor and thesis committee
· Appointment of examiners
· Award of degrees
· Changes to the curriculum (by review of course proposals)
· Other matters related to curriculum and student progress

5.10.2.6. Meetings of the Committee

i. If there is not a majority of the members with voting rights in attendance, the Committee shall not transact its business.

ii. Resolutions of the Committee shall be passed by a majority. The Chairperson shall make a decision in case of tie in votes

iii. As deemed necessary by the Chairperson members may participate in the Committee meeting by teleconference and exercise voting rights. Absent members may not exercise voting rights.

iv. As deemed necessary by the Chairperson faculty members other than members of the Committee may be invited to attend the meeting and participate in proceedings or serve as advisors on panels. This may occur, for example, to ensure that certain fields of expertise are represented, or to achieve diversity.

v. The agenda and decisions of the Committee shall be made available to the Faculty Assembly.

vi. Members of the committee or panels must declare conflicts of interest or the appearance of a conflict when these exist.

5.10.2.7. Procedures for dealing with a conflict of interest

In the case of conflicts of interest, the conflict shall be declared to the Chairperson, who shall ensure that the committee member concerned takes no part in the decision of the committee with respect to the matter, by requiring the member to leave the room when the matter is discussed, or stronger measures as considered necessary by the Chairperson.

5.11. Teaching Spaces and Resources Management

Graduate School spaces and resources will be made available for use by the OIST Community for the purpose of teaching and learning in line with the OIST Teaching Labs Facility & Resource Use Policy. [link to full policy "https://groups.oist.jp/sites/default/files/imce/u137/Forms/OIST%20Teaching%20Labs%20Facility%20Use%20Policy%20%282%29.docx"]

Graduate School teaching spaces are intended to support teaching and learning at OIST. Priority is given to use in official Graduate School courses and other Graduate School sponsored trainings and events. When a space is not in use, it may be booked and used with prior approval of the Graduate School.

5.12 Respectful Workplace and Anti-Harassment Policies

The University is committed to creating and maintaining a safe and respectful environment in which all officers, employees, students, and visitors are treated with dignity and respect, in accordance with the Respectful Workplace Policy. The Respectful Workplace Policy is a core value of the University and the University will not tolerate disrespectful communication, discrimination, harassment, or bullying, in any form.

5.12.1.1 The University takes all harassment claims seriously and handles them in confidence. For allegations relating to violations of Respectful Workplace and Anti-Harassment policies, the University has a process for students. When a violation of the Respectful Workplace policy or an act of harassment is reported, the University takes remedial measures and appropriate corrective actions.

5.12.1.2 If a student experiences or witnesses a violation of the Respectful Workplace Policy, or sexual, power, or other harassment, the student should consider taking action to inform the University of the situation by any of the following procedures.

5.12.1.3 To report such disputes or incidents of harassment, students should contact either the confidential external Respectful Workplace and Anti-Harassment hotline (RWAH hotline), designated contact staff in the Graduate School, or the Dean of the Graduate School (DGS).

5.12.1.4 For students who need advice and counseling, the Ganjuu Wellbeing Service is available to all OIST community members. The Ganjuu Wellbeing Service offers consultation, advice, and intervention in relation to a range of problems including harassment and other behaviors inconsistent with the OIST Respectful Workplace Policy.

5.12.1.5 Protection from Retaliation

The University will not tolerate retaliatory action against any student for making a good faith report of incidents of harassment based on the procedures in this chapter. Similarly, the University will not tolerate any direct or indirect use (or attempted use) of official authority or official influence for the purpose of interfering with the rights of a student making a protected disclosure.

5.12.2 Rules

All students of the University are eligible to seek both informal and formal resolution of violations of Respectful Workplace and Anti-Harassment Policies using the procedures set out in this Chapter.

A student who wishes to make a claim of harassment or violation of the Respectful Workplace Policy may seek informal resolution by consulting with the designated

contact staff in the Graduate School (Manager of the Student Support Section, Manager of the Academic Services Section, or Manager of the Admissions and Career Development Section) or contacting the confidential external RWAH hotline.

Alternatively, the student may seek a formal harassment resolution process by submitting a written claim of harassment or violation of the Respectful Workplace Policy to the Graduate School.

5.12.2.1 Consulting designated contact staff in the Graduate school

A student (claimant) may consult with one of the designated contact staff in the Graduate School for an explanation of the process and for confidential support and advice.

Contact staff must arrange a meeting with the claimant within three working days of the request, or within one working day if the request is marked urgent. The meeting with the Graduate School contact staff must be logged by the designated contact staff. After understanding the situation, the designated contact staff will outline, or implement, some of the possible choices from among the following alternatives:

5.12.2.1.1 Monitoring and Review for Informal Resolution

The claimant may decide to register a claim with the Graduate School and seek an informal resolution. The designated contact staff is required to log the claim and then monitor and review. Informal resolution may involve consulting with, for example, the Academic Mentor, Thesis Supervisor, Thesis Committee, Chair of Faculty Assembly, the Dean of Research, or the Dean of Faculty Affairs. In all cases the Graduate School will check back with the claimant to see if the issue is resolving satisfactorily. If it is not resolving satisfactorily, other options such as proceeding to a formal claim process will be suggested. Formal options may also be suggested in the first instance if appropriate.

5.12.2.2 Contacting the External Hotline

At any point in the process (including before deciding whether to file a claim with the Graduate School), every student is entitled to use the external RWAH hotline to consult with OIST-designated outside independent mediators.

5.12.2.3 Filing a Claim with the Graduate School for Formal Resolution

A student may seek a formal resolution by filing a written claim to the Graduate School. A student making a claim (claimant) may initiate a formal resolution process as a first option, or be advised to take this

option by RWAH hotline. The designated contact staff in the Graduate School can assist in preparing the written statement; however, the document must be based on the claimant's statement.

5.12.2.3.1 The DGS must review the written statement, in consultation with the claimant, and determine the next steps according to the Policy and Rules. If the matters in the claim are matters that come under the Respectful Workplace Policy or Anti-Harassment and Anti Bullying Policy, the DGS initiates the next steps in this chapter. The claimant is consulted before any steps are taken, unless the Graduate School has a duty of care to take this further. This may happen, for example, if a criminal offense is alleged to have occurred. If the complaint concerns criminal behavior, any criminal investigation will take precedence over an OIST investigation or resolution processes. However, the Graduate School and Ganjuu Wellbeing Service can still be approached for support and advice.

5.12.2.3.2 Resolution by the Graduate School Harassment Investigative Committee

The DGS will establish and convene a Graduate School Harassment Investigative Committee (GSHIC) within 15 working days after receiving the written claim.

The GSHIC consists of 3 members, one of whom is designated as the chair by the DGS. In addition, a legal counsel appointed by the General Counsel joins the committee as an observer. A Graduate School staff member provides secretarial support.

The GSHIC conducts an impartial and confidential investigation/review to determine the facts and circumstances of the case, and make recommendations to resolve the matter. In principle, the GSHIC should prepare a written response to the DGS within 20 working days from the date the GSHIC first convenes. If additional time is needed, the DGS must be informed of the expected date of response.

A written response to the claim must be given to the claimant by the DGS within 10 working days from the date the GSHIC report is received by the DGS unless additional time is needed, in which case the claimant must be informed of the expected date of response. In some cases, the claimant may only be notified that the matter has been closed, without receiving any details of the outcome.

5.12.2.3.3 Executive Committee Level Harassment

Dispute Resolution

A problem that has not been resolved at the GSHIC level may be brought to a Harassment Dispute Resolution Committee (HRC). The request must be submitted, in writing, by the claimant to the DGS. For details about HRC, see PRP 39.6.2.4.

5.12.2.4 Ganjuu Wellbeing Service and Student Peer Supporters

At any point in the process (including before deciding whether to contact the Graduate School) a student can contact the Ganjuu Wellbeing Service or the Student Peer Supporters for confidential support and advice.

5.12.2.5 Exclusions

Appeals related to academic matters such as grading or outcomes of examinations are handled separately by an appeals process e.g PRP **5.3.11.7** [link: 5.3.11.7]. Cases where the main issue is academic, scientific, or research misconduct or non-compliance the DGS will refer the matter to the internal contact points stipulated in PRP 23.4.1.1.

If the matter involves a non-academic employee the matter will be referred to the Vice President for Gender Equality and Human Resource Development (VPGEHR) and follow the procedures in PRP 39.6.2.3.

In the case of allegations made against the President, regardless of the nature of the allegations, the DGS will report directly to the Chair of the Board of Governors of the University. In the case of allegations made against a Member of the Executive including Deans, regardless of the nature of the allegations, the DGS will report directly to the President. In the case of allegations made against the DGS the matter will be referred to the VPGEHR and follow the procedures in PRP 39.6.2.3.

5.12.3 Responsibilities

5.12.3.1 Students

Students must attempt to solve disputes in accordance with the procedures provided in this chapter.

5.12.3.2 Dean of the Graduate School

The DGS must inform students about the availability of the RWAH hotline mediators and the formal and informal procedures in this chapter. The DGS is responsible for performing the tasks and duties outlined in this chapter.

5.12.3.3 Contact staff in the Graduate School

Contact staff in the Graduate School are responsible for performing the tasks and duties outlined for them in this chapter.

5.12.3.4 Mediators of the confidential external Respectful Workplace and Anti-Harassment hotline

RWAH hotline mediators are responsible for performing the tasks and duties outlined for them in this chapter. The duties of the mediators of the confidential external RWAH hotline are detailed in PRP 39.6.2.2.

5.12.3.5 The Dean of the Graduate School, the President, Graduate School Harassment Investigative Committee (GSHIC), Harassment Dispute Resolution Committee (HRC), or their Representatives

The DGS, the President, the GSHIC, the HRC or their designated representatives, are responsible for performing the tasks and duties outlined for them in this chapter.

5.12.4 Definitions

For definitions of sexual, power, or other harassment see PRP 39.9.

Authority: Approved by the Dean of the Faculty Affairs

Chapter 6. University Library

6.1 Policy Statement

Okinawa Institute of Science and Technology Graduate University Library ("the Library") is a key part of the University infrastructure, critical to the education and research activities of the University. The Library provides both a central library facility and an online environment for University-affiliated users to have access to a diverse range of literature, reference materials and databases. By providing access to electronic form of research, scholarship, and creative works of the University (hereafter collectively referred to as "the Works"), the Library contributes to development of education and research activities as well as promoting information disclosure and establishing accountability to the society.

6.2 General Considerations

6.2.1 The Library Collection

The Library holds a collection of electronic and printed materials (the Collection) to support the teaching and research activities of the University. The Collection includes sufficient printed materials to support teaching and general reference needs on campus, and also contains a large amount of electronic material to allow users to access a wide range of sources that cannot be provided as printed material because of cost and limitations on space. In addition, the electronic material is accessible to users remotely both on and off campus.

6.2.1.1 Books

A limited collection of printed books is maintained in the library on campus. This includes textbooks used in courses taught at the University, important research reference books, and selected books of general interest. The main focus is on science and technology, but the Library also holds material to assist in the daily life of the University staff and students. The Library maintains a catalog and book ID system that tracks each book owned by the Library. This reduces duplication and enhances the range of books available to all users.

6.2.1.2 Journals

The Library strives to allow reasonable access to the widest available range of journals to support the academic activity at the University. When new areas of interest arise, effort is made to subscribe to additional relevant journals. The Library will review annually the list of journals under subscription and make additions and deletions, taking into account the changing needs of the University community and the available budget. Print copies of the most high-demand journals are also kept on display, for up to 6 months or until space is

no longer available. Older copies of these print journals are kept in storage until disposed of.

6.2.1.3 eBooks

Books with a limited lifespan that are rapidly updated, are better provided as electronic books rather than printed books. These include intrinsically transient publications like manuals for specific software and programming handbooks, methods manuals, and technical guides. In addition, electronic versions of books are provided when use is infrequent where they are only available electronically. eBooks and print books are treated alike by the catalog and can be accessed from inside the University network.

6.2.1.4 Databases

The Library provides access to a range of databases to support the research and educational activities of the University and the Graduate School. The Library provides training in searching and using these databases.

6.2.1.5 Reserve Collection

Courses or other University activities may ask that some books, journal articles, or other materials temporarily be set aside for restricted use in a reserve collection. (ex: Course Reserve Books [link: 6.3.2.1.3])

6.2.1.6 Closed Reserve Collection

In special cases of rare or valuable references or materials, the Library may establish closed reserve collections that require special approval from the Librarian for access.

6.2.2 The Okinawa Institute of Science and Technology Graduate University Institutional Repository

The Library provides open access to the Works of the University personnel and/or students through the Okinawa Institute of Science and Technology Graduate University Institutional Repository (hereinafter referred to as “OISTIR”). The details of OISTIR is defined in “Okinawa Institute of Science and Technology Graduate University Institutional Repository Operational Guidelines”.

6.2.3 Layout of the Library

The Library provides a range of areas and rooms for different uses. This includes desks for studying, computers to access the library catalog and electronic collection, comfortable chairs for reading, copying, and facilities for user-operated check-out of books.

6.2.4 Interlibrary Collaboration and Cooperation

The Library maintains membership in associations and consortia of university, research, and public libraries across Japan to support the activities of the Library. These agreements allow University faculty, staff and students access to a wider range of material than can be held within the University Collection. As a corollary, the University then allows other universities and consortia members access to the holdings of the University, as long as these are in agreement with the conditions imposed

by publishers and suppliers of those materials to the University.

6.2.5 Copyright Management

The Library manages the University's obligations under the various national copyright conventions, including the copying and storage of journal articles, books, and database materials.

6.2.6 Access

The Library is a limited public access library and will provide storage for a defined range of materials pertaining to the operation of the University and for the University records of public interest, and will provide reasonable access to those materials.

6.3 Rules

6.3.1 Library access

6.3.1.1 Hours of Operation

The Library offers 24 hour access to registered users. On-site Library assistance will be provided from 9:00am to 5:30 pm from Monday to Friday except holidays and new year holidays.

6.3.1.2 Registered Users of the Library

OIST students, faculty, researchers, administrative staff, , and specially approved other staff including collaborators, interns, and other guest researchers and faculty, are deemed "Registered Users of the Library" and are given borrowing and online resources access rights. OIST ID serves to identify our registered users for the Library.

6.3.1.3 Unregistered Users of the Library

Unregistered users may use the University Library facilities while library staff are in attendance. As Unregistered Users of the Library [link: 6.8.2] , such visitors do not have the right to borrow books or journals, and access e-resources, though they may read books/journals while in the Library.

6.3.2 Rules for the Library

Consideration for the safety and security of the Library Collection, the Library facilities, and other users are the guiding principles of use. Library facilities and equipment must not be used for non-University or commercial purposes (such as running a business or buying and selling items on line). At no time may unlicensed commercial video, film, recorded, or printed materials; other legally restricted materials; or pornography or other inappropriate material be viewed, downloaded, or distributed using Library facilities.

6.3.2.1 Rules for Borrowing

Registered users are allowed to borrow up to 15 items from the library. Books can be borrowed for 30 days, and print journals and

electric media for 7 days. Course instructors can check out one copy of textbooks for duration of the course.

6.3.2.1.1 Renewals

Registered users may request to renew borrowed library materials by email or at a Counter if another user hasn't placed a request on their books. Paper Journal loan may not be renewed.

6.3.2.1.2 Overdue

When a registered user has overdue books, the library will not allow the user to check out other books until the user return the overdue books to the library.

6.3.2.1.3 Course reserve books

Library should keep at least one copy of the course reserve books per class in the current semester collection. When the library holds more than one copy of course reserve books in the current semester, any available copy in the library at that point of time is designated as course reserve books. When all available copies are checked out, a copy with the smallest call number is recalled as a course reserve book regardless of loan period. A user who is borrowing books which were assigned the course reserved books, they have to return the books upon the library's request. The period of the course reserve is from one week before a semester starts to the last day of the semester. Upon course instructor's requests, the library may purchase up to 50 % of the number of students registered in class.

6.3.2.2 Rules for use of Behavior in the Library

Appropriate behavior is expected of all users when in the Library. Patrons whose behavior is inappropriate will be asked to desist or will be required to leave the premises.

6.3.2.2.1 Drinking of non-alcoholic beverages is permitted, but food is not allowed in the Library. Open drink containers (cups, mugs) may not be placed on the same surface as electronic equipment (computers, copiers, etc.), or on bookshelves, at any time. Closed or spill-proof drink containers are required

6.3.2.2.2 Those using the Library must not make noise that disturbs others, whether by talking or from electronic or other devices.

6.3.2.2.3 No animals or biological specimens are permitted in the Library.

6.3.2.2.4 Laboratory coats or gloves may not be worn or brought into the Library.

6.3.2.3 On-Campus Network Access to Library Facilities

6.3.2.3.1 All Registered Users may access Library facilities from any on-campus computer with access to the University network, using their University ID and password. These are not to be shared with non-Registered Users.

6.3.2.3.2 Materials that are licensed only for use within the University are not permitted to be removed from the University environment.
6.3.2.3.3 Library facilities and equipment must not be used for illegal purposes (such as file sharing or downloading unauthorized content).

6.3.2.4 For use of library for Unregistered Users
Unregistered users must fill in the Library Unregistered Users Form [link:6.6.3] at the library's service counter and follow the instructions from library staff on how to use the library. It is not permitted to stay in the library for purposes other than using library materials. Unregistered users may not bring their own personal computers or use Library's computers without library's permission.

6.3.3 Use of Library Facilities from Outside Campus
Library facilities may be accessed by Registered Users from off-campus by VPN sign-in, or through alternative secure means that may be arranged by OIST IT staff. Registered Users are not permitted to share or distribute their passwords, ID and VPN access codes with non-registered users or others.

6.3.4 Protection of Copyright
Only limited copying of copyright material is allowed in the Library. Users may copy materials in the Library within the limits of the Copyright Act (Act No. 48 of May 6, 1970).

6.3.5 Terms of Use for E-resources
The following actions are prohibited by the Copyright Act and license agreements of providers.
6.3.5.1 Systematic downloading of multiple full-text files within a short period of time manually or with auto-downloading software, etc. (Downloading of multiple reference citations, e.g. into Endnote, is acceptable.)
6.3.5.2 Reproductions or redistribution of full text data.
6.3.5.3 Using the full text data for purposes other than individual use.

6.3.6 Rules on Managing Books in the Library Catalogues
6.3.6.1 Purpose
The purpose of these Rules is to stipulate standards and requirements relating to the acquisition and management of the materials in the Library Collection, and thereby ensure proper, efficient and good management of materials. These Rules are based on the Accounting Standard [link:], Article 42 of the University.

6.3.6.2 Definitions
6.3.6.2.1 "Acquisition" refers to the procedure for acquiring materials for the library by selection, order, and acceptance inspection and for receiving donations or other contributions.

6.3.6.2.2 "Management" refers to the registration, organization, storage, inspection, and disposal of unnecessary materials.

6.3.6.3 Person Responsible for Collecting and Managing Library Materials

The Person responsible for acquiring and managing Library materials shall be the Library Director.

6.3.6.4 Scope of Materials

The "materials" referred to in these Rules are the books (fixed assets), journals (non-assets), eBooks, databases, other software, and related materials that the Library as an organization manages and that are used for the purposes of research and education. In these Rules, books include the following:

- Books that are used for the purposes of learning, education and research.
- Books that are planned for use for one year or longer.

6.3.6.5 Acquisition

6.3.6.5.1 Selection of Materials

Materials shall be selected in accordance with the policy of the Library Collection [link: 6.2.1]. Provided, however, that when making a decision to purchase materials the budget, nature of the materials, and necessary storage requirements are taken into account

6.3.6.5.2 Ordering

Materials shall be ordered by the Library. At the time of submitting a purchase request, a decision shall be made as to whether or not to record the materials as assets.

6.3.6.5.3 Acceptance Inspections

Acceptance inspections of materials shall be carried out by the Library staff.

6.3.6.5.4 Donations

Basically, the Library doesn't accept donations of books or other materials except for special cases. The Library Director may approve to accept special donations of books or other materials that conform to the Library's Collection policy and that are considered to be suitable as items for use with some kind of consideration.

6.3.6.6 Management

6.3.6.6.1 Registration

6.3.6.6.1.1 The necessary information on the acquired materials shall be registered in the Library's system.

6.3.6.6.1.2 Books that to be recorded as fixed assets for accounting purposes must be stamped with the book stamp "OIST Graduate University Library" and registered every year in the fixed asset ledger

6.3.6.6.1.3 Books that are to be recorded as non-assets for accounting purposes must be stamped with the book stamp "OIST Graduate University Library" and registered every year in the non-assets book ledger.

6.3.6.6.2 Organization

6.3.6.6.2.1 Materials registered in the manner specified in the preceding article shall be organized according to the Library system.

6.3.6.6.2.2 All other materials shall be organized appropriately by the Library staff.

6.3.6.6.3 Storage

Once materials have been organized they shall be stored in their specified place. Provided, however, that materials that are on loan shall be stored at the responsibility of the user. If a user loses or damages books that are on loan, he or she must report this to the Library.

6.3.6.6.4 Inspection of Books

Stock collation shall be performed on books once a year.

6.3.6.6.5 Determination of Unnecessary Materials

Materials that fall under any of the following categories may be determined as being unnecessary materials.

6.3.6.6.5.1 Materials that have become grossly soiled or damaged due to frequent and long-term use, and that are deemed to be irreparable, or whose repair cost is deemed to exceed replacement cost.

6.3.6.6.5.2 Materials that are deemed to have lost their usefulness due to successive revisions, the issuance of re-editions or the obsolescence of their content, and that are deemed to not need to be stored.

6.3.6.6.5.3 Materials that were acquired with the intention of short-term use, and that are deemed to have lost their value due to the passage of time and that are deemed to not to need to be stored.

6.3.6.6.5.4 Materials that had a retention period set and such period has expired.

6.3.6.6.5.5 Materials for which a duplicate exists other than the original document that is required to be stored.

6.3.6.6.5.6 Materials that can be judged as being appropriate for utilization in other forms, e.g. books replaced with eBooks.

6.3.6.6.5.7 Materials that are lost for 2 or more years.

6.3.6.6.5.8 Any other materials identified as unnecessary by the Librarian.

6.3.6.6.6 Disposal

Materials that are determined to be unnecessary as stipulated in the preceding article shall, with the approval of the Library Director, have their registration canceled and be sold, donated or disposed of.

6.4 Responsibilities

6.4.1 Responsibilities of Users

Users of the Library must respect the physical and electronic online environment of the Library and the rights of other users. Users are responsible for ensuring that they correctly check borrowed material out, and that they return such material at the appropriate time. Users will be

asked to pay for the replacement or repair of material and equipment that is unreasonably damaged or rendered unusable. Users should follow designated procedures for use of electronic media and software so as not to damage or infringe on the use by others. Users should obey copyright regulations and restricted use rules.

6.4.2 Responsibilities of Library Staff

Library staff will be available to assist patrons in the use of the physical and electronic collections, and to maintain the University Collection in a suitable condition for such use. Library staff are responsible for day-to-day activities of the library such as inventory control, book and journal shelving, and ensuring security of the Collection. Library staff are responsible for ensuring that library policies for fair use are observed. Library staff provide training and assistance in the use of Library collections for users.

6.4.3 Responsibilities of the Librarian

The Librarian is responsible for the daily operation of the Library, maintenance and development of the Collection, maintenance and training in information management required to support the electronic databases and online resources of the Library, and the interaction of the Library with other libraries and institutions. The Librarian is responsible for performance of the Library staff, for managing the budget allocated to the library, and for negotiating with suppliers and agents of publishers to purchase new books and journal subscriptions.

6.4.4 Responsibilities of the Library Director

The Library Director is responsible for overall operation and management of the Library. The Library Director will supervise library staff and evaluate performance of the Librarian. The Library Director oversees the assets of the library and operates within the approved library budget. The Library Director has authority for making decisions for library related issues and policies. The Library Director will meet with the Library Committee [link: 6.8.5] at least twice a year to obtain recommendations regarding operation of the Library and new purchases/deletions for the Collection.

6.4.5 Responsibilities of the Library Committee

The Library Committee ［link: 6.8.5］ meets at least twice a year to provide advice on the operation of the Library. This includes addition and deletion of books, journals, databases, and other materials as required by new faculty or new directions of research at the University and on the best use of the Library budget. The Library Committee reports at least once a year on Library activities to the Faculty Assembly. Details on Library Committee are stipulated separately by the Library Director.

6.5 Procedures

6.5.1 Borrowing and returning books and other library materials

[link: https://groups.oist.jp/library/book-purchase-request-oist-library]

6.5.2 Requesting purchase of new books
[link: https://groups.oist.jp/library/book-purchase-request-oist-library]

6.5.3 Requesting purchase of new journals and detabase
The library conducts a subscription survey for online journal requests once a year. The unit or research section can submit their request per unit/section during the survey.

6.5.4 Requesting book reservation
[link: https://groups.oist.jp/ja/library/book-reservation-request]
6.5.5 Requesting interlibrary loan
[link: https://groups.oist.jp/library/interlibrary-loan-ill-requests]
6.5.6 Requesting photo copies of books in the Library
When users request photo copies of library materials, they need to submit the Photocopy Application Form [link: 6.6.2].

6.6 Forms

6.6.1 24-hour Library Access Request [Link;]

6.6.2 Photocopy Application Form [Link;]

6.6.3 Unregistered User Form [Link;]

6.7 Contacts

6.7.1 Policy Owner: The Dean of the Faculty Affairs
6.7.2 Specific details of Library policy and related issues may be discussed with the Librarian in person or by email at library@oist.jp.

6.8 Definitions

6.8.1 Registered User: An individual who has OIST ID and security cards.
6.8.2 Unregistered User: An individual who has no OIST ID and security cards.
6.8.3 Librarian: The OIST employee assigned through the Office of the Dean of the Faculty Affairs to carry out the responsibilities designated in section 6.4.3.
6.8.4 Library Director: The Dean of the Faculty Affairs serves as the Library Director.
6.8.5 Library Committee: The Library Committee [link: https://groups.oist.jp/ja/library/library-committee-terms-reference] includes members of the OIST academic community appointed by the Dean of the Faculty Affairs.

Authority: Approved by the President

Chapter 7. Fundraising

7.1 Policy

Throughout history, private support for universities has been essential to their growth and academic excellence. Even today, contributions and donations to colleges and universities from individuals, the private sector, nonprofit foundations, and other entities are critical to strengthening their physical and intellectual foundations. Such support augments existing education and research programs and is indispensable for new ventures in science and technology and for other advancement. Recognizing this, gifts to, and fundraising for, the University is encouraged.

Fundraising at the University involves solicitation of contributions, donations, and gifts as well as bequests, and devises, together referred to as "gifts" [link: 7.8]. Fundraising also may proceed through University events (ticket sales) and sales of items bearing University marks and logo.

All fundraising activity at the University must be supervised, coordinated, and directed by and through the Fundraising office in the Office of the President [link: 2.4.1]. It is the Fundraising office that, in consultation with the President , prioritizes fundraising initiatives to meet the University's objectives. These priorities are the main focus of the Fundraising office's efforts.

The President will maintain a prioritized list of donors who are approved for solicitation. All solicitations and negotiations regarding gifts require the express prior approval of the President.

Gifts in support of research are reviewed in coordination with the office of the President to assure appropriate disposition and treatment.

7.2 General Considerations

7.2.1 Often donors are interested in whether a tax deduction is available for a gift to the University. To ensure that a tax deduction is available, Gifts to the University from United States' donors are to be made through the Friends of OIST Foundation and gifts to the University from Japanese donors must be made through the Promotion and Mutual Aid Corporation for Private School of Japan [*Nihon Shiritsu Gakkou Shinkou Kyousai Jigyoudan*].

7.2.2 Restricted Gifts, those made for a defined purpose or for an area of research specified by the donor, deserve special attention and often involve negotiation

7.2.2.1 A restricted gift involving a designated area or aspect of research is subject to the same research review process as research grants.(Chapter 4.8[link: 4.8])

7.2.3 Gifts that involve associated costs for the University to pay (e.g., the donor pays building construction costs but the University must pay for building maintenance and repairs) are acceptable but require close review.

7.2.4 Gifts vs Grants. A grant, which may be provided by governments, the private sector, or a private individual donor, is not a "gift" because the grantor effectively determines how the money is to be used, requires audits of expenditure, places time and other constraints on the research, requires periodic reports, and may obtain a commercial interest in the results of the research, among other things. Additionally, grants (including private grants made by individuals) may be subject to an indirect costs (overhead) assessment, whereas gifts will not be subject to that imposition. Grants should be administered by the Grants and Research Collaborations Section (in the office of the Dean of Research) rather than the Fundraising office. Thus it is very important to distinguish between a gift and a grant.

7.2.4.1 Gifts. In general, donated funds are gifts when the following characteristics exist:

- the donor intends to make a charitable contribution;
- the donor does not impose contractual requirements; and
- the funds are given irrevocably.

7.2.4.2 Private grants. In general, provision of funds are grants when *any* of the following characteristics exist:

- there is provision for audits by or on behalf of the person providing the money;
- the person providing the money is entitled to receive some consideration such as a detailed technical report of research results or a report of expenditures;
- the research is directed to satisfying specific requirements as directed by the person providing the money (e.g., a precisely stated scope of work to be accomplished within a specific period of time, instead of a statement supporting a general area of research);
- a specified period for performance is prescribed, or termination is at the discretion of the person providing the money;

- funds that are unexpended at end of period are to be returned to the person providing the money;
- patent or licensing rights are requested by the person providing the money.

7.2.5 Gifts involving “matching funds” are permissible.

7.2.5.1 Care must be exercised to determine whether such a gift might actually constitute a joint research collaboration, which should be referred to the office of the President.

7.2.6 “In Kind” donations (items rather than money) to support a research collaboration are subject to different rules and should be referred to the office of the President for review.

7.2.7 Special attention must be paid to the nature of the agreement when a gift is given by a commercial company. No direct profit-based advantage to a commercial entity can be part of an agreement between the University and the commercial enterprise making a gift.

7.3 Rules

7.3.1 All fund-raising activity at the University must be supervised, coordinated, and directed by and through the Fundraising office [link: 2.4.1].

7.3.1.1 The President maintains a prioritized list of donors who are approved for solicitation and this list must be consulted each time fundraising occurs.

7.3.1.2 No solicitation or negotiation regarding a gift can be made without the President’s explicit approval.

7.3.1.3 Gifts supporting specified research or specified aspects of research must be reviewed in collaboration with the office of the President.

7.3.2 No direct profit-based advantage, implied commercial return or other benefit may result in favor of a commercial entity seeking to donate funds or other gifts to the University. (Chapter 22.2) [link: 22.2]

7.3.2.1 Donations of specialized/unique research or other equipment which may require servicing and maintenance by the donor’s commercial enterprise require justification prior to acceptance.

7.3.3 Gifts which may involve donor use of the University names and marks must be coordinated with the office of the Vice President for Public Relations & Communication. (Chapter 16 [link: 16])

7.3.4 Fundraising proposals must satisfy the following criteria:

7.3.4.1 The funds raised will support a key mission or objective of the University;

7.3.4.2 The fundraising arrangement will not breach any other contract held by the University;

7.3.4.3 There is a connection between the University and the recipient of any solicitations;

7.3.4.4 Recipients of the invitations or solicitations have not been the subject of recent or repeated solicitations from the University; and

7.3.4.5 The number of similar promotional events over the last 12 months has not been so excessive as to give the University an appearance of undue commercialism.

7.3.5 Fundraising proposals based on sales of items to the public and use of the University's name, marks, or logos [link: 15] must demonstrate the following:

7.3.5.1 The commercial entity selected to provide the items has a very high reputation for quality and service in its industry;

7.3.5.2 The commercial entity selected to provide the items to be sold has values and operational practices that are consistent with the University's;

7.3.5.3 The product to be offered is of high quality; and

7.3.5.4 The price proposed by the entity selected to provide the items is competitive within the relevant market.

7.3.6 All gifts to support research, whether ultimately characterized as a gift to advance education or research, or as a private grant [link: 7.2.4], is subject to the research review requirements established by the office of the President.

7.3.7 All fundraising is subject to the policies, rules, and procedures that apply to all University Funds.

7.3.8 An acknowledgment of the offer of a gift must be promptly sent to the donor, indicating that the gift offer has been received in the Fundraising office and the date of that receipt. An acknowledgement of receipt of a gift offer is not the same as an acceptance of that gift.

7.3.9 Once a gift has been formally accepted by the University, an acceptance letter must be promptly sent to the donor indicating the date of acceptance (not necessarily the same as the date of receipt or the date of the acknowledgement). Acceptance letters must state the nature of the gift and the amount (if cash) or a description of the gift sufficient to link it to the donor.

> 7.3.9.1 Gifts that are conditional are not considered "accepted" unless the University agrees to all the conditions and then notifies the donor of acceptance of the gift and its conditions.

7.3.10 Announcement of gifts may only be made by the Office of The President [link: 2.4.1].

7.3.11 Processing and official receipting of gifts are handled exclusively by the Fundraising office, in coordination with the office of the Vice President for Financial Management [link: 2.4.5.4].

7.3.12 Students should not be solicited for funds; their involvement in fundraising activities is limited to providing time and effort (and enthusiasm) only. Any exceptions to this constraint must be approved by the President [link: 2.4.1] and the Dean of the Graduate School [link: 2.4.5.1].

7.4 Responsibilities

7.4.1 The President must be involved in the process of reviewing gifts and gift proposals in conformance with the requirements set out in 7.2 and 7.3 of this Chapter.

7.4.2 The President should actively participate in raising funds from the private sector by identifying and developing relationships with potential donors as requested by the Fundraising office.

7.4.3 Faculty may assist in fundraising activities by identifying potential donors to the Fundraising office. Faculty must request the assistance from and work through the Fundraising office in the event they identify or come upon potential donors/donations.

7.4.4 Individual faculty should refrain from negotiating with donors in the absence of first identifying the donor to the Fundraising office. This avoids a)

the potential embarrassment of more than one faculty member pursuing a donor simultaneously and b) solicitation in the absence of full knowledge and a sound solicitation plan.

7.5 Procedures

7.5.1 How to initiate a fundraising campaign
(TBD)

7.5.2 How to give notice of a potential donor
(TBD)

7.5.3 How to report a contribution or donation
(TBD)

7.5.4 How to makes gifts to the University

7.5.4.1 Money
(TBD)

7.5.4.2 Real Property
(TBD)

7.5.4.3 Personal Property
(TBD)

7.6 Forms

[TBD]

7.7 Contacts

7.7.1 Policy Owner: The President

7.7.2 Other Contacts: Fundraising office

7.8 Definitions

7.8.1 **Bequest**: The transfer of property (except real estate) under the terms of a Last Will and Testament.

7.8.2. **Contribution**: A sum of money voluntarily provided in response to a request or campaign seeking funds.

7.8.3. **Deferred Gift**: A gift divided into a present interest and a future interest,

usually by means of annuity, where the donor irrevocably gives one interest (such as annuity payments to the University for a span of years starting at a future date) but personally retains the remaining interest.

7.8.4 **Designated Gifts** (or Designated Funds): Gifts of money for a purpose that is only loosely described by the donor. Typically, a designated gift merely specifies a particular recipient, but the use of the money is not prescribed, e.g., JPY 3 m given as "shogakukifukin Fund (donation type)", $5,000 donated for use by the University Child Care Center, $500,000 donated to support the Library, or $75,000 donated to the general endowment. The relevant decision-makers and budget managers thus have some discretion to decide how designated gifts are expended. Compare "restricted gifts".

> 7.8.4.1 Shogakukifukin (donation type): a fund which is donated to support education and research activities of the specific research unit without requiring submission of a report on usage, etc. to the donor. See "Instruction Regarding Shogakukifukin Fund (donation type)" [link: http://10.251.17.133/7.8.4_Instruction%20regarding%20Shogakukifukin-fund_en_20120401.pdf]

7.8.5 **Devise**: The transfer of real estate under the terms of a Last Will and Testament.

7.8.6 **Donation**: Money or other tangibles voluntarily given to a charity, church, nonprofit educational institution or other nonprofit entity or foundation.

7.8.7 **Gift**: A thing (or things, including money) voluntarily transferred by one person to another person or to an entity, without remuneration by or any other form of consideration from the person or entity to whom the transfer was made.

7.8.8 **Grant**

7.8.8.1 Research Grant

Money given to individuals (and sometimes to groups) to explore various fields of study, most often in response to a proposal seeking funding for a specific area of research. Grants cover the cost of research plus provide the researcher(s) with income. Governments, private sector entities, and individuals all fund research through grants. A grant is not a "gift" because the grantor effectively determines how the money is to be used, requires audits of expenditure, places time and other constraints on the research, and requires periodic reports, among other things. Applicant should seek for an approval by the Dean of Research through the Grants and Research Collaborations Section before applying for research grant .

The Grants and Research Collaborations Section or the Business Development Section will assist the applicant in financial report, activity report, audit and

other required activities by grantor. Overheads from research grant shall be as stipulated in the PRP 27.5.3.

7.8.8.2 Non-Research Grant

Non-Research Grant is important external funds to promote the University's operation. Non-Research Grant is money given to individuals (and sometimes to groups) to response to a proposal seeking funding for a specific administrative work. Applicant should seek for an approval by the Vice President of applicant's division. Applicant should report the details of the application and screening result to the Grants and Research Collaborations Section at the earliest possible. Applying division shall conduct financial reporting, activity reporting, audit and other required activities by grantor on division's responsibility. Overheads from non-research grant shall be as stipulated in the PRP 27.5.3. However, in the case that rules for overheads is not specified by grantor, all received amount can be used for the purposes of the grant.

7.8.9 **Restricted Gifts** (or Restricted Funds): Donated money specifically designated as to both purpose and recipient by the donor, e.g., $200,000 to fund summer research student stipends in chemical engineering, $5,000 to purchase a specific item for evolutionary biology research, or $50,000 to the office of the Dean of the Graduate School to be used to recruit geology students who also play the tuba. The relevant decision-makers and budget managers have very little or no discretion regarding the use of restricted gifts. Compare "designated gifts".

Authority: Approved by the President

Chapter 8. Internal audit

8. 1 Policies

OIST Graduate University shall implement internal audits pertaining to business and accounting (hereinafter referred to as "Audit") of OIST. The purpose of the Audit shall be to investigate and verify the legality of the business operation and accounting processing of OIST fairly and objectively and give advice and a proposal based on the audit results, thereby contributing to securing the sound and smooth operation of the OIST.

8. 2 General Considerations

8.2.1 Types of Audit

As for the Audit, there are two types; audit of business affairs and audit of accounting.

8.2.1.1 Audit of Business Affairs

The audit of business affairs shall be implemented so as to determine whether or not business and administrative operation of OIST is executed appropriately in compliance with laws and regulations, and policies, rules, and procedures of OIST and other related regulations, and is carried out effectively.

8.2.1.1.1 The audit of business affairs may be carried out at the time of implementing the audits by the OIST Auditors.

8.2.1.2 Audit of Accounting

The audit of accounting shall be implemented so as to determine whether or not accounting of OIST is processed through fair documentary evidence and whether or not forms, etc. are recorded appropriately in accordance with laws and regulations, and policies, rules, and procedures of OIST and other related regulations, etc.

8.2.1.2.1 The audit of accounting may be implemented by using the ERP System.

8.2.2 Classification of the Audit

Classification of the Audit shall be periodical audit and extraordinary audit.

8.2.2.1 The periodical audit shall be implemented each year.

8.2.2.2 The extraordinary audit shall be implemented whenever necessary on matters ordered by the CEO/President or matters which the Chief Compliance Officer (hereinafter referred to as "CCO") deems necessary.

8.3 Rules

8.3.1 Implementation of the Audit
The CCO shall implement the Audit based on the instructions of the CEO/President.

8.3.2 Audit Plan
The CCO shall, in advance, prepare the annual audit plan in which basic audit policies, audit items, audit outlines, and other necessary matters are described and obtain the approval of the CEO/President. However, this shall not apply to an extraordinary audit.

8.3.3 Internal Auditors
Staff of the Compliance Section under the CCO (staff who implement the Audit including the CCO shall be referred to as the "Internal Auditors" collectively hereinafter) shall implement the Audit under the CCO.

8.3.4 Notification of Implementation
The CCO shall give a written notice to heads of the Sections/Divisions, etc. subject to the Audit in advance when implementing the Audit. Provided, however, that in the case where the situation is urgent and it is deemed particularly necessary, the VPAC may give such notice verbally.

8.3.5 Request of Report,
In implementing the Audit, the Internal Auditors may request relevant Sections/Divisions, etc. subject to the Audit to submit related materials, explanation of the facts, and reports and carry out other actions necessary for implementing the Audit so that the Audit can be implemented efficiently and effectively.

8.3.5.1 The Sections/Divisions, etc. subject to the Audit may not reject the request of 8.3.5 without legitimate reasons.

8.3.6 Confidentiality
The Internal Auditors shall not reveal to others any matters that are acquired in the course of fulfilling their duties without legitimate reasons.

8.3.7 Exchange of Opinions after the Audit
After the completion of the Audit, the Internal Auditors shall hold a review and exchange opinions with the Sections/Divisions, etc. subject to the Audit to explain the audit results and confirm problems.

8.3.8 Cooperation with Other Audit Functions
The CCO and the Compliance Section must endeavor to improve audit efficiency by cooperating and coordinating with the OIST Auditors and Accounting Auditors.

8.4 Obligations

8.4.1 CCO
The CCO shall report to the CEO/President concerning the implementation status of the Audit and its results. In addition, the CCO shall provide explanation of the audit results for the Sections/Divisions, etc. subject to the Audit.

8.4.2 CEO/President

8.4.2.1 If the CEO/President deems it necessary to take measures and actions, etc. for improvements of business, he/she shall instruct the heads of relevant Sections/Divisions, etc. to take such measures and actions.

8.4.2.2 The CEO/President must have the CCO confirm implementation status of such measures based on the submission of 8.4.3.

8.4.3 Heads of the Sections/Divisions, etc. subject to the Audit
When receiving instructions of 8.4.2.1, the heads of the Sections/Divisions, etc. subject to the Audit must promptly implement such measures and submit the results to the CEO/President in writing.

8.4.4 Staff
Staff of the Sections/Divisions, etc. subject to the Audit must cooperate so that the Audit will be implemented efficiently and effectively.

8.5 Procedures

N/A

8.6 Forms

N/A

8.7 Contact

8.7.1 Person in charge of the Policies: CCO

8.7.2 Other point of contact: Compliance Section

8.8 Definitions

N/A

Authority: Approved by the Auditors

Chapter 9. Auditors' Audit

9.1 Policy

Audits by the Auditors are conducted at the Okinawa Institute of Science and Technology School Corporation (hereinafter referred to as "School Corporation") in accordance with Article 15 of the Okinawa Institute of Science and Technology School Corporation Bylaws [link: https://groups.oist.jp/sites/default/files/imce/u113/oistsc_bylaws.pdf]. Audits by the Auditors are conducted to promote legitimate and efficient business and administrative operations of the School Corporation as well as proper accounting.

9.2 General Considerations

9.2.1 Standards of Audit Activity

Audits by the Auditors are conducted based on the relevant laws, Bylaws and School Corporation's policies and regulations that are stipulated from those laws. When implementing the audit activity, the Auditors shall respect the autonomous nature of the education and research at the University.

9.3 Responsibilities

9.3.1 General Employees

Employees of audited sections/divisions must cooperate with the audit activities to ensure efficient and productive implementation of the audit.

9.3.2 Person in Charge of Each Sections/Divisions

When important issues or irregular incidents arise in the workplace, the concerned responsible personnel of the School Corporation or the University must immediately report to the Auditors orally or in writing.

9.3.3 Audit Employees

With the approval of the CEO, the Auditors may receive assistance from employees who fall under the Chief Compliance Officer (hereinafter referred to as "CCO") or other employees and direct them to assist in necessary audit activities.

9.3.4 Duties of the Audit Employees

Employees engaged in Audit activities stipulated by 9.3.3 may not disclose any information they learn or come across during the audit activities to other employees who are outside of the audit team or any external contacts.

9.3.5 Duties of the Auditors

9.3.5.1 Preparing Audit Report

Every fiscal year, the Auditors must prepare an Audit Report and submit the report to the Board of Governors (BOG) and the Board of Councilors (BOC) within two months after the end of preceding fiscal year.

9.3.5.1.1 For a Special Audit, the report must be submitted to the CEO within a month after the implementation of the audit.

9.3.5.1.2 Auditors may add opinions in the report when deemed necessary.

9.3.5.2 Meeting Attendance and Expression of Opinions

Auditors may attend BOG, BOC and other important meetings and express opinions. When the Auditors are unable to attend these meetings, they may receive explanation of the meeting agendas from the CEO/President, the Vice CEO/Provost or concerned employees and view relevant documents.

9.3.6 Duties of the CEO

The CEO must deliberate and assess the Audit Report and the Auditors' opinions and then provide a remedial action plan. Measures and actions

taken to correct the discrepancies and the resulting effects must be provided in writing to the Auditors.

9.4 Procedures

9.4.1 Scope

Auditors conduct audits on the overall operation and asset condition of the School Corporation. Specifically, audits shall be conducted on the following items:

(a) Condition of enacting and practicing the relevant laws and school policies and regulations.

(b) Business and management condition of the School Corporation and University.

(c) Administrative performance condition of overall system and organization of the School Corporation and University.

(d) Personnel management condition.

(e) Implementation status of budgets, business plans and financial plans.

(f) Expenditure and management conditions of cash, etc.

(g) Condition of financial supply-demand and the management.

(h) Property acquisition, management, and disposal conditions.

(i) Safety management conditions.

(j) Other issues necessary for the achievement of healthy and stable operation of the School Corporation.

9.4.2 Types and Methods of Audit

There are two types of audits: Periodical Audits which are conducted periodically, and Special Audits which are conducted on an as-needed basis.

9.4.2.1 Document Audit

Only documents that are created and managed by the School Corporation will be subject to audits. When implementing document audits, documents pertaining to accounting, contracts, and other necessary forms are subject of Document Audit. This also includes but is not limited to all the logs and records from the School Corporation's computer systems.

9.4.2.2 Field Audits

Audits may also be conducted at the employee's workplace, where employees are interviewed and explanations may be requested.

9.4.3 Implementation Procedure

Audits by the Auditors shall follow the procedures stated in the Chapter unless otherwise stipulated separately.

9.4.3.1 Auditors must prepare audit plans every fiscal year and inform the CEO in advance. However, Special Audits are conducted whenever deemed necessary, and therefore no advance notice is required.

9.4.3.2 The head of a section/division that will be audited will receive a written notice of a Periodical Audit in advance.

9.4.3.3 In case of a Special Audit, no advance notice is issued.

9.4.3.4 The head of an audited section/division is responsible for cooperating for a smooth conduct of the audit activity. The includes but is not limited to preparing documents pertinent to the items on the advance notice form.

9.4.4 Documents to be Audited and Sent to the Auditors

Documents stipulated in Bylaws Article 31[link: https://groups.oist.jp/sites/default/files/imce/u113/oistsc_bylaws.pdf] must be sent up to the Auditors for the purpose of audit. The following documents must also be sent up to the Auditors after they have been approved by the determining authority (Kessai) for they are crucial in assessing the condition of the School Corporation's administrative operation.

(a) Documents concerning enactment, revision and abolition of the Bylaws, regulations, stipulations, and other policies of the School Corporation

(b) Documents requesting for an approval or authorization or other important documents prepared for the Prime Minister and the Minister of Education, Culture, Sport, Science and Technology

(c) Documents concerning the determination of the basic policies for the

School Corporation's business and administrative operation

(d) Important documents concerning contracts

(e) Important documents concerning lawsuits and petitions

(f) Important documents for submission to the Board of Audit

(g) Important documents concerning an approval or authorization from the Prime Minister or the Minister of Education, Culture, Sport, Science and Technology

(h) Important documents issued from Government offices other than the Cabinet Office or Ministry of Education, Culture, Sport, Science and Technology

(i) Other important documents, both issued and received, concerning School Corporation's operation

9.5 Contacts

9.5.1 Policy Owner: Auditors

Authority: Approved by the President

Chapter 10. Land, Buildings and Facilities

10.1 Policy

The land belonging to, and the buildings and facilities constructed at, OIST Graduate University (the University) are resources intended to serve the various purposes of the University. The fundamental role of the Division of Buildings & Facility Management at the University is to manage these resources to provide, operate and maintain an environment that will enable all members of the University community to carry out their work effectively in a safe and attractive setting.

University policy is that the facilities and services provided must be sufficient, efficient and reliable, but not extravagant. The University has an obligation to utilize funding, whether from public or private sources, for construction, operation, and maintenance in a sound and responsible manner, and it is University policy always to endeavor to achieve the most cost-effective use of funds available.

This chapter addresses acquisition, use, security and upkeep of the campus grounds, built facilities and major elements of plant and equipment (excluding laboratory equipment) at the University. Policies, rules and procedures for land acquisition and procurement of construction are set out in Chapter 26, Finance & Accounting [link: 26] and in Chapter 28, Procurement [link: 28], while procedures relating to the allocation of space and use of laboratory equipment are

set out in Chapters 19, University Events [link: 19] and 21, Use of University Resources [link: 21].

10.1.1 Access to lab areas by outside parties

The basic policy for access to lab areas by outside parties is as follows.

1. In principle, outside parties who are not directly engaged in OIST research activities do not have access to the Lab buildings or Administrative Office areas.
2. Exceptions will be made to enable necessary construction and equipment installation works and deliveries to be made in an efficient manner-but in such a way that:
    a. there is minimal disturbance to lab users, and
    b. good operational security is maintained on the campus.

    OIST reserves the right to cancel this exceptional authorization without notice nor explanation should the condition above not being fulfilled.
3. Exceptions will also be made when government agencies, educational and research institutions, corporations, and media visit lab buildings for campus tours guided by OIST employees or students.
4. Outside parties when permitted to enter inside OIST acknowledge that they do so at their own risk.
    a. Accident in OIST properties is at their own risk.
    b. OIST will not bear any responsibilities for lost or stolen personal belongings in OIST properties.
    c. If there is trouble or accident, ask OIST staff to call Security Center immediately.

10.2 General Considerations

10.2.1 Adequate funding must be budgeted each year to ensure that the infrastructure of the University campus is maintained in excellent condition. This obligation includes forward planning to ensure that sufficient funds are available when major overhaul or replacement of elements of the infrastructure becomes necessary during the life of the University. For this purpose, the term 'infrastructure' shall be understood to include, among other things, the campus buildings(Chapter 10.8 [link: 10.8]).

10.2.2 Most of the 213ha Onna campus is owned by and leased free-of-charge from Onna Village, on an automatically renewing 10-year lease first entered into in November 2011(Lease Agreement) [link: http://iwww.oist.jp/document/prp-aux/10.2.2_lease_agreement.pdf]. Any proposal to allow use of leased areas by a third party must be approved by Onna Village in advance. The University also owns the 8.7ha site known as the Seaside Campus, which comprises the Seaside House building, eight units of faculty housing and an area of undeveloped land.

10.2.3 The University must use its financial resources for construction in accordance with the obligations and conditions attached to the use of those resources, if any. Most of the University's budget is provided by the Japanese government; therefore the University complies with Japanese public works procurement policies for all nationally funded construction and related works above defined values (Chapter 28)[link:

28]. At the same time, the University aims to achieve the most rational and cost-effective construction procurement possible, so every effort must be made to minimize paperwork and inefficient procurement practices.

10.2.4 The University must minimize the impact of the campus development and all activities taking place within it on the natural environment. To this end, a comprehensive Environmental Impact Assessment was carried out by an independent consultant prior to the commencement of site development. This assessment identified several species of flora and fauna on the site subject to protection, and set out numerous conditions for the development of the site. Ongoing environmental impact monitoring is conducted of construction activities to ensure that the conditions stipulated in the EIA Report are being observed. In addition, the University must satisfy prescribed standards for air and water quality in all its activities, and in respect of all waste emitted from the facilities (Chapter 13) [link: 13].

10.2.5 The Campus Village at the University has been developed under a Public Private Partnership whereby a Special Purpose Company (SPC) established by a commercial consortium has undertaken to build the housing and related facilities on the campus and then operate them on the University's behalf for 30 years after completion. The details of the contractual arrangement between the University and the SPC are set out in the Project Contract. The relative roles and responsibilities of the SPC and University with respect to the management, operation and maintenance of the Campus Village are complex, and the Project Contract should be referred to when any activity by the University that

impinges on the Campus Village is contemplated. The rules and procedures related to utilization of the Village by University personnel (including leasing procedures and conditions, tenant rights and responsibilities, use of shared facilities, etc.) are currently under development.

10.3 Rules

10.3.1 Budget Availability takes Precedence.

No commitment to carry out any construction or modification of the facilities shall be made unless the funds necessary for the work are available in the budget. An exception may be granted by the President if the construction is funded in installments by a private donor or entity.

10.3.2 Statutory Compliance.

Construction works and the installation of facilities at OIST, and the use and maintenance of same, must comply with all relevant laws and regulations in Japan. Some of these are set out in Table 10.1 [link: http://iwww.oist.jp/document/prp-aux/10.3.2_Table10.1.pdf].

10.3.3 Access to University Buildings and Grounds.

Access must be provided as freely and unobtrusively as possible consistent with security (Chapter 21.1)[link: 21.1]. Priority of access is as follows: First - faculty, students, other researchers, Senior Level Executives, and staff; second – authorized vendors & contractors; third – OIST family members and the general public.

10.3.3.1 Although the campus grounds are in principle open to the general public, access to the Onna Campus buildings is controlled at the points of entry to the buildings. Everyone entering the campus buildings shall be required to comply with the security procedures in force. In general, rules of access are as follows:

- Students shall be issued a security pass card upon registration.
- Researchers (including scientific visitors, collaborators, interns and invited guests), employees shall be issued with a security pass card upon joining the University community, which will give them access to differing areas of the buildings depending on their need, and the training required, for access.
- Guests, vendors, OIST family members and general visitors shall be issued a different identifying pass card upon signing in at the entrance reception.

The above rules will be waived only for special events such as open days, at which times access to most areas of the buildings will be strictly limited and controlled.

10.3.3.2 Vendor, etc. Access to Labs

1. Contractors and equipment installation engineers doing work in the buildings must register at the Security Office by the Lab 1 loading dock, and will then be given an armband and Security card with limited access.

2. Vendors and others making sales calls or coming to OIST for meetings, product seminars, etc. should make an appointment, enter the campus at the Tunnel Entrance (OIST gallery) on the ground level, register at the security desk, and meet their OIST contact at the meeting tables on Level A of the Center Buildings, on Level C of Lab 2 just inside the Skywalk entrance, or in the Cafeteria. Such visitors will not be issued with a Security card and will not be permitted entry to the labs unless specifically invited and hosted by a member of faculty.
3. In principle, lab supply deliveries should be picked up from the Supply Center (Procurement) by unit staff, and take acceptance inspection by supply center staff. However, vendors making regular deliveries to labs may continue to be given access to the Lab areas, provided they do not undertake unsolicited sales activities.
4. Mail and courier deliveries at Supply center, and will be distributed to units by Supply Center (Procurement) staff (printed materials only). However all packages, boxes, etc. should be picked up from the Supply Center by unit staff, and take acceptance inspection by supply center staff.

NOTE: Safety Training

(1) Vendors, contractors, and other entering lab areas on an occasional basis should read the OIST leaflet "Safety Precautions in Lab Areas" [link:

http://rs.oist.jp/docs/safety_precautions_for_lab_tour_111101.pdf]

(2) Vendors entering lab areas regularly shall participate in a safety training session organized by the Research Safety Section at least once a year.

10.3.4 Land Use Planning & Design

The overall development of the University's Onna Campus has been carried out in line with a Master Plan prepared in 2006 and approved by the Board of Governors of the OIST Promotion Corporation. No construction at the University shall be carried out without reference to this Master Plan [link: http://www.oist.jp/master-plan-0], and all proposals for construction, whether for a new building or for modification of an existing facility (interior or exterior), must be referred in advance to the Vice President for Buildings and Facilities Management (VPBFM) [link: 2.4.5], who shall be responsible for determining whether they are in accordance with the Master Plan.

10.3.4.1 Over time, the addition of facilities not envisaged in the original campus master plan can be expected. In this case, the Vice President for Buildings and Facilities Management shall commission additional planning and/or design work to ensure that such facilities are integrated into the overall campus in a planned and consistent way (Chapter 10.4)[link: 10.4]. Such additional facilities must:

1) maintain the quality of the built environment at the University, and

2) not compromise the potential for further construction in future.

Final responsibility for determining whether the above criteria are achieved in any such proposed expansion of the facilities is vested in the Board of Governors.

10.3.5 **Energy Conservation & Recycling.**

Sophisticated laboratory buildings inevitably use a great deal of energy to maintain precise environmental conditions within laboratory spaces and to operate certain research equipment. However, considerable effort has been made in the specification, design and construction of University buildings to ensure that they are as energy efficient as possible. While every University user has an obligation to utilize the facilities in a responsible manner and conserve resources to the greatest extent possible, the Division of Buildings & Facility Management is primarily responsible for monitoring and managing energy, water and other resource usage throughout the campus, and shall develop and implement appropriate measures on a continuous improvement basis to achieve optimal resource conservation.

10.3.5.1 Pursuant to the Article 7-2 of the "Act on the Rational Use of Energy" (Act No.49 of 1979), an Energy Management Supervisor is appointed to promote energy conservation at OIST. VPBFM shall serve the position.

10.3.5.2 "Energy Management Regulation" is prescribed separately for appropriate and effective implementation of the rational use of energy at OIST.

10.3.5.3 The energy management supervisor establishes the "Energy Management Committee", which investigates and discusses the energy management and energy saving at OIST upon advice from the CEO/President. Details of the "Energy Management Committee" are prescribed separately.

10.3.6 **Historic and Archaeological Preservation.**

Before construction commenced on the Onna Campus, a survey was carried out to identify historic or archaeological artifacts on the site. Reference must be made to this survey and its findings taken into account when any new construction is proposed on the campus. In the course of construction, if any such artifacts are uncovered, the construction work in the area must be suspended, and notice given to the Vice President for Buildings and Facilities Management, who must then take immediate action to have such artifacts examined by a competent authority, and determine the appropriate subsequent course of action (Chapter 10.4) [link: 10.4].

10.3.7 **Disaster Preparedness and Operational Continuity.**

The Division of Buildings & Facility Management shall develop, implement and maintain measures and procedures to ensure that the safety of University users can be assured in the event of foreseeable natural disasters such as typhoon, flood or earthquake, or incidents such as fire, power failure or other potentially disruptive emergency on or off campus. This role shall include ensuring that the operation and

activities of the university can be preserved and continued with minimal interruption after any such event. See also Chapter 13, Safety, Health, and Environmental Protection [link: 13].

This work shall include the preparation, in conjunction with other Divisions, of a 'red book' setting out emergency contact and operational procedures in the event of an incident; ensuring that standby power systems and other resources (including stocks of emergency supplies) are available and in good condition; and organizing appropriate training of all University personnel in emergency procedures to ensure that the safety and welfare of everyone can be maintained.

10.3.7.1 The University must establish clear procedures for responding to an emergency situation(Chapter 13.3.17) [link: 13.3.17].

10.3.7.2 The University must provide emergency response training to all employees and must inform visitors and guests of emergency response requirements.

10.3.7.2.1 Building evacuation drills must be held, in accordance with the procedures and requirements of the Fire Prevention Plan [link: 10.3.8], at least once during the school year.

10.3.7.3 The power distribution system shall be inspected and maintained regularly, in accordance with the procedures set by the Facilities Management Section.

10.3.7.4 The Disaster Recovery System shall be inspected and maintained regularly, in accordance with the procedures set by the Facilities Management Section.

10.3.8 **Fire Prevention Planning**

This plan, based on the Fire Prevention Act [link: http://www.japaneselawtranslation.go.jp/law/detail/?re=01&dn=1&x=0&y=0&co=1&yo=&gn=&sy=&ht=&no=&bu=&ta=&ky=%E6%B6%88%E9%98%B2%E6%B3%95&page=2] (Act No. 186 of 1948), Article 8, Paragraph 1, sets out the necessary fire prevention measures for the University facilities located in Tancha, Onna Village designed to protect against fire, earthquake or other disaster, ensure life safety and minimize damage. For details, see the University Fire Prevention and Control Plan [link:].

10.3.9 **Use of Facilities**

If planning to use University facilities for a purpose other than that for which they were intended, you must advise the Facilities Management Section in advance. Use will not be permitted in the following circumstances:

- When it would interfere with educational or research activities or a University-related event;
- When there is the risk of damage or defacement of the facilities;
- For any political activity;
- For any activity which attacks the reputation of any individual or organization; or
- If the Facilities Management Section determines that

the activity would impair, impede, or conflict with the management of University facilities.

The management, reservation and use of University rooms and other spaces for teaching/lectures are the responsibility of the Dean of the Graduate School [link: 2.4.5].

Reservation and use of University rooms and spaces for other purposes is the responsibility of the Community Relations Section of the Division of Communication and Public Relations, and the related rules and procedures are set out in Chapter 21, Use of University Resources [link: 21].

Policies, rules and procedures concerning use of other University resources, including Common Space, can be found in Chapter 21, Use of University Resources [link: 21].

10.3.10 Use of Car Park Space

10.3.10.1 Management of Parking lots: All parking spaces on OIST are controlled and maintained by the Facility Management Section of Buildings and Facilities Management Division. Any inquiry, complaint, or request regarding parking spaces should be addressed to the Facility Management Section.

10.3.10.2 Parking Enforcement: All parking regulations are enforced 24 hours a day, unless otherwise stated.

10.3.10.3 Liability: Vehicle owners and operators park on campus at their own risk. OIST assumes no risk or liability for damage or loss (including the vehicle's contents) while any vehicle is parked on OIST property. This includes damage incurred if the vehicle is wheel locked.

10.4 Responsibilities

10.4.1 The Vice President for Buildings and Facilities Management is responsible for ensuring that these policies and rules are applied consistently and adhered to at all times. The Vice President is also responsible for explaining matters related to construction and facility management to the University Executive and, as appropriate, to the community as a whole. The Vice President is also responsible for receiving, evaluating, communicating decisions, and implementing agreed requests for new construction, modifications to facilities and allocation of space on the Campus.

10.4.2 The Campus Building Section is primarily responsible for land acquisition and new construction, and for necessary interactions with central and local government departments in connection with construction matters. This Section is also responsible for the management of non-academic spaces (including administration and Campus Village areas).

10.4.3 The Facilities Operation & Use Section is primarily responsible for the fit-out and modification of the buildings and facilities to accommodate research equipment and to meet the operational

requirements of researchers. This Section is also responsible for managing and tracking the allocation of space to researchers and preparing laboratories.

10.4.4 The Facility Management Section is primarily responsible for the overall operation and maintenance of all land and facilities utilized by the University at the Onna Campus and elsewhere. This includes responsibility for optimizing the use of energy, water and other utilities. This Section is also responsible for vehicles, safety (except the safety of research activities, which is the responsibility of the Dean of Research link: 13]), access management and the physical security of the campus and facilities. It shall procure and manage, among other things, janitorial, landscaping, and security services for the University's buildings and land.

10.4.5 There is inevitably overlap among the responsibilities set out above, and when and as necessary, all staff of the Division of Buildings & Facility Management shall cooperate to ensure efficient construction, operation and maintenance of the University, and to ensure that there are no gaps in the services provided.

10.5 Procedures

10.5.1 How to Request Permanent/Semi-Permanent Allocation of Space.

Complete and send the designated form [link:] to the Facilities Operation & Use Section. Only request space required within the next 3 months (although longer term plans can be noted on the form as well).

Space requests will then be processed by the Section taking into account space available and other requests NOTE: Allocation of class rooms and similar teaching spaces must be coordinated through the Office of the Dean of the Graduate School.

10.5.2 How to Request Modification of Facilities and Buildings.

Initially, contact the Vice President or one of the Section Leaders of the Buildings & Facility Management Division. They will make a preliminary evaluation of the request, and if it is considered feasible, will then request detailed information on specification, proposed timing, etc. If the proposed construction is major (if it comprises more than a renovation), the Vice President for Buildings and Facilities Management must bring the proposal to the Executive for consideration. Some changes can be made internally, but others will require the involvement of external consultants and contractors.

10.5.3 How to Request New Construction.

Initially, contact the Vice President for Buildings and Facilities Management, who will make a preliminary evaluation of the request. If it is determined to be feasible and in keeping with the overall Master Plan for the University, more detailed information (e.g., amount of space required, specification, proposed timing, etc.) will be required. New construction will often require specific budget request and allocation in a future fiscal year, so requests should be made well in advance.

10.5.4 To Obtain a Security Pass

A security card for a newly arriving employee, researcher or student will be requested to the Facilities Management Section by the HR Management Section. A request for a new security card for any other party (vendor, guest, contractor, visitor, etc.) should be made to the Facilities Management Section after obtaining the approval of the responsible person in the Unit or Section making the request, using the designated form [link:]. Applications should be made at least 3 days in advance.

10.5.5 To Change Access Rights on Security Pass

An application to change the access rights on a security card should be made on the designated form [link:] after receiving the approval of the supervisor of the person requesting the change, or approval from the related facility management person in charge. Applications should be made at least 3 days in advance.

10.5.6 To Allow Use of Security Pass by Outside Party

A request to lend a security pass to an outside party (e.g. a visitor or workshop participant) should be made using the designated form [link:] after receiving approval from the person in charge of the related section or unit. Applications should be made 1 week in advance

10.5.7 To Apply for Use or Duplication of a Key

Keys to rooms or equipment in the facilities will be provided when necessary. A request to use a key should be made using the designated form [link:] after receiving approval from the person in charge of the related Section or Unit. When a copy of a key is needed, a request should be issued to the Facilities Management Section using the designated

form [link:]. Users must not make copies of keys themselves. Applications should be made 1 week in advance.

10.5.8 When a Security Pass or Key is Lost

When you lose a security pass or key, advise the Facilities Management Section immediately. Explain the circumstances to your supervisor, and after obtaining their approval, submit a notification using the designated form [link:]. Every effort must be made to locate the lost item, and in certain cases, you may be asked to submit a letter explaining the circumstances of the loss.

10.5.9 To Change the Security Setting of a Facility or Room

To change the security setting of a facility or room, obtain the approval of the person responsible for the space then submit a request to the Facilities Management Section using the designated form [link:]. Applications should be made 1 week in advance. If a programming change or construction work is required, the date of the change will be set after separate consultation.

10.5.10 To Request Non-routine Cleaning Service

When cleaning other than the scheduled daily or regular cleaning is required, submit a request to the Facilities Management Section using the designated form [link:]. In principle, applications should be made 1 week in advance. However, in the event of an accident during an experiment or other emergency, you can contact the Facilities Management Section or Central Control Room directly. In this case, the form should be submitted after the clean-up has taken place.

10.5.11 To Apply for Short-term Use of Carpark

When it is necessary to secure parking spaces for short-term use such as a tour of the campus, event, committee meeting or workshop, submit a request using the designated form [link:]. Applications should be made 1 week in advance.

10.5.12 To Obtain Approval to Carry out Work within the University (Construction, Installation of Equipment, etc.)

When a vendor or contractor is to perform work within the facilities, a request should be submitted using the designated form [link:]. Applications should be submitted 2 weeks in advance, and work within the facilities must be carried out in accordance with the Work Execution Plan

10.5.13 To Lodge a Claim related to Facility Condition

If you have a problem concerning the air-conditioning, cleanliness of a facility, or other general issue concerning the facilities or building services, submit a claim using the designated form [link:]. The Facilities Management Section will investigate the issue and if necessary take urgent action. In any event the Facilities Management Section shall respond to the claim within 1 week.

10.6 Forms

10.6.1 Space Allocation Request Form[link:]

10.6.2 New Request for Security Pass[link:]

10.6.3 Request to Change Access Rights on Security Pass[link:]

10.6.4 Request to Allow Use of Security Pass by Outside Party[link:]

10.6.5 Request for Use or Copying of a Key[link:]

10.6.6 Notification of Loss of Security Pass or Key[link:]

10.6.7 Request to Change Security Setting of a Facility or Room[link:]

10.6.8 Request for Non-routine Cleaning Service[link:]

10.6.9 Request for Short-term Use of Carpark[link:]

10.6.10 Request for Approval to Carry out Work with the University[link:]

10.6.11 Form to Lodge a Claim related to Facility Condition[link:]

10.7 Contacts

10.7.1 **Policy Owner**: Vice President for Buildings and Facilities Management

10.7.2 **Other Contacts**:

New construction: Campus Construction Section (ext. 18644)

Power, special gas, etc. requirements for lab facilities or equipment: Facility Operation & Use Section (ext 18591)

General facility, building services, fire prevention, security related matters: Facility Management Section (ext 12315)

10.8 Definitions

10.8.1 **Infrastructure.** For purposes of this Chapter, "infrastructure" means all site improvements, including roads, bridges, tunnels, lakes and catchment ponds, pathways and retaining walls; all vegetation and landscaping; all exterior lighting and signage; all utilities, above and below ground, including electricity, water and drainage, and communications; and all buildings and structures erected on the site and all building services within those buildings.

10.8.2 **Facilities**. Infrastructure as defined above. All systems and equipment installed in the buildings, except items of research equipment installed by or for the specific use of researchers; vehicles and related items. [NOTE: Management and maintenance of leased equipment is dealt with in Chapter 28, Procurement [link: 28]; management and maintenance of IT and AV equipment is dealt with in Chapter 17, Information Technology & Security [link: 17].]

10.8.3 **Employees**. For purposes of this Chapter, the term "employees" includes those who are directly employed by the School Corporation/University as well as individuals who are under contract to perform security, cleaning, facility management, and similar (also referred to as "contractors").

10.8.4 **Central Control Room**. Room located in Laboratory 1 where control and monitoring of the Fire Defense Equipment, etc. is carried out.

Authority:

- Approved by the President
- Act on Management of Official Documents, etc. (Document Management Act)
- Act on Access to Information Held by Incorporated Administrative Agencies (Information Access Act)
- Act on the Protection of Personal Information Held by Incorporated Administrative Agencies (Personal Information Protection Act)
- School Education Act

Chapter 12. Document and Records Management

12.1. Policy

The OIST Graduate University (the University) is committed to achieving efficient business operations and ensuring accountability to its stakeholders and the general public by managing its documents and records in a systematic and logical manner. All practices and procedures concerning document and record management within the University, including their preparation, preservation, disclosure, and disposal, are to be in accordance with this policy as well as the related laws and regulations. This policy applies to all documents and records – whether electronic or on paper and whether in English or Japanese – prepared and acquired by University officers or employees, and held in the course of their duties for the purpose of organizational use.

In addition, proper management of personal information is a particularly important legal obligation in modern society, and it can be publicly damaging and costly for an organization if it fails in that responsibility. As an institution dealing with a variety of personal information such as information of students (including applicants), alumni, employees, donors, event participants and etc., the University recognizes its social responsibility to use and protect such personal information appropriately and to comply with all relevant laws and regulations.

12.2. General Considerations

12.2.1. Legal Obligations

As a Japanese educational institution established with a special government law and supported by Japanese tax-payers, the University is subject to the laws listed below, which require a higher level of transparency and accountability to the general public than is required of private universities. The University is committed to meeting its responsibilities under these laws.

- Act on Management of Official Documents, etc. (Act No. 66 of

2009) (Document Management Act)

- Act on Access to Information Held by Incorporated Administrative Agencies (Act No.140 of 2001) (Information Access Act)
- Act on the Protection of Personal Information Held by Incorporated Administrative Agencies (Act No. 59 of 2003) (Personal Information Protection Act)

This chapter itself is subject to the legal disclosure requirement and will be posted on the University's external website.

12.2.2. General Principles

All documents and records related to the business operations of the University, regardless of their contents, must be treated with caution.

12.2.2.1. In particular, when bringing out the documents and records from the office for business trips or other reasonable purposes, the documents should be treated with utmost care and attention. When an employee uses a portable electronic devise to store documents and records, he/she should make sure that no copies are left in the devise after their use or when sharing such device with other individuals.

12.2.2.2. When leaving a position at the University, employees must transfer all documents and records that they store to their successor or immediate supervisor.

12.2.3. Electronic Documents and Records

The University is committed to introducing electronic systems in order to conduct business transactions accurately and efficiently. In addition, promotion of paper-less business operations helps the University meet its environmental protection objectives. University officials and employees are expected to prepare and store documents and records electronically whenever it is possible. In principle, internal announcements and notices should be sent via e-mails or posted on the internal portal.

Any electronic document and record, regardless of form, is regarded equally important as paper-based documents under this policy. At the same time, it will require greater attention to protect from the risks particularly associated with electronic documents and records, such as falsification, leakage, and deletion (Refer to 12.3.6.3, 12.3.6.4 of this chapter, and Chapter 17, Information Technology and Security [link: 12.3.6.3, 12.3.6.4 and 17]) .

12.2.4. Documents and Records in Laboratories

Scope of this policy is not limited to the administrative groups/sections of the

University. While flexibility in education and research activities is advocated within the University, all faculty and other employees working in support of the academic and research functions of the University are responsible for following this policy when they prepare, acquire, and/or preserve any of the documents subject to this policy, known as Corporate Documents[link: 12.8.2].

Examples of Corporate Documents prepared or managed in laboratories includes, but is not limited to:

- Purchase requests of research equipment
- Plans and reports about budget execution
- Grant applications
- Records of research evaluations
- Minutes and distributed materials of the Faculty Assembly or other committees

Research data, lab notebooks, research papers, and other similar documents and records that are prepared in research activities and which are not intended for the organizational use of the University are not regarded as Corporate Documents.

12.3. Rules

The University recognizes the value of documenting institutional decisions – not only decisions themselves but also the process of making them – and recording of its business transactions; it also recognizes the importance of preserving these records traceable and available for current business purpose, for external and internal reviews and audits, and for future historical research.

12.3.1. Acquired Corporate Documents

All documents and records – whether electronic or on paper – acquired by University officers and employees during their course of work through business communication with external entities are treated as Corporate Documents. Typical examples include notifications or inquiries from the central and local authorities, business letters from other institutions, and proposals from companies.

Information regarding titles, sender, and destination must be appropriately recorded.

12.3.2. Prepared Corporate Documents

All institutional decisions and business transactions must be documented except for those on trivial matters. Corporate Documents must be prepared at the time of or as soon as practicable after the event to which they relate.

12.3.2.1. Corporate Documents recording institutional decision-making are to certify that the decisions have been made by the individuals with the authority to approve the concerned matters. (Refer to the Chapter 2, Governance and Organization [link: 2].)

12.3.2.2. Any such approval should be made in a way in which the authenticity is assured – affixing his/her own seal, writing his/her signature, or recording the approval through the related electronic system – after completing necessary work flows.
The "Guideline for Document-based Approval Process" [link:] developed and updated by the Chief Operating Officer (COO) will provide standardized formats and procedures to be used.

12.3.3. Principles Applied to Preparation of Corporate Documents

Preparation. The following principles are applied to preparation of any of Corporate Document:

12.3.3.1. Must be Accurate. Any Corporate Document prepared by University officers or employees must provide a correct reflection of what was done, communicated or decided. They must be simple, explicit, and using easy-to-understand words and phrases.

12.3.3.2. Must be Identifiable. Every Corporate Document must be uniquely identified by a document number, the date of preparation, and a title appropriately representing its contents and version information (if the document has been revised or is expected to be revised) based on the identification standard of Corporate Document established and maintained by the COO.

12.3.3.3. Must be Bilingual. Any Corporate Document is to be prepared both in English and Japanese. While the internal official and governing language is English, accurate Japanese translation should be added in side-by-side or other appropriate formats in order to be accountable for the University's business operations and its budget executions to the Japanese funding source, local stakeholders, and the general public in Japan.

12.3.3.3.1. However, in one of the following circumstances, a Corporate Document may be prepared in either English or Japanese and at least with a translated title. (It is still encouraged to make

translation of its summary in the other language.)

- The document is routinely prepared.
- The need for preparation of the document is immediate and urgent.
- It is impractical or significantly inefficient to translate the document.

12.3.4. **Classification and Preservation**

12.3.4.1. Classification of Corporate Documents

12.3.4.1.1. Any Corporate Document must be annotated with the document title, the date of preparation or acquisition, the preservation periods and the preservation period expiration dates when the documents are prepared or acquired.

12.3.4.1.2. Preservation periods (from "less than one year" to "30 years") is set based on the criteria [link:] established and periodically reviewed by the COO.
The preservation period is calculated from the first day (April 1st) of the following fiscal year (or of the following academic year, if it is deemed appropriate by the department head) when the Corporate Documents were prepared, except for when the preservation period is less than one year, in which case the date of preparation or acquisition is the starting date of calculation.
If there is any specific statutory requirement regarding preservation periods and/or the preservation period expiration dates, such requirement must be met.

12.3.4.2. Corporate Document Files

12.3.4.2.1. Any Corporate Document must be classified based on its content and medium (such as electronic, on paper, etc.) as well as preservation periods, and kept together with closely related Corporate Documents that have the same preservation periods, as a collection of Corporate Documents ("Corporate Document File" or "File.").
When there is no such related Corporate Documents, the concerned Corporate Document may constitute an independent File.

12.3.4.2.2. Any Corporate Document File must be classified systematically and logically based on its content in accordance with the "Classification Standard of Corporate Documents" [link:] developed and periodically reviewed by the COO in consultation with each department head. Each File is given a recognizable title, the preservation periods, and the preservation period expiration dates.

12.3.4.3. Preservation at Department

12.3.4.3.1. Any Corporate Document File must be stored at the physical or electronic storage space under the control of the department head (Document Management Supervisor) responsible for the File until the preservation period expiration (5 years after the starting date of calculation, if the preservation periods is longer than 5 years.).

12.3.4.3.2. Under supervision of the department heads, the Document Management Administrator(s) (an employee(s) assigned by the department head) is responsible for management of preserved Corporate Documents within the department.

12.3.4.3.3. The Corporate Document Files must be transferred from each Section to the University Archive after the certain period of preservation at the Section. However, if a Section needs to preserve some Corporate Documents Files under the control of the Section for more than 5 years provided that the File contains some Corporate Documents frequently used for daily business, or for other appropriate reasons, the Section shall request for permission to the University Archivist (s) (an employee(s) assigned by the COO).

12.3.4.4. Preservation at the University Archive

12.3.4.4.1. The Corporate Document Files, which were transferred from the Department to the University Archive, must be preserved at the physical or electronic storage space designated to the University Archive until the preservation period expiration dates.

12.3.4.4.2. The Corporate Document kept in the Corporate Document Files preserved by the University Archive is accessible

for the department that originally preserved the File before transfer or any employees permitted by the said department.

12.3.4.4.3. Under supervision of the COO, the University Archivist (s) (an employee(s) assigned by the COO) is responsible for management of preserved Corporate Documents within the University Archive and administrative matters necessary for the operations of the University Archive.

12.3.5. Extension of Preservation Periods, Disposal, and Transfer

12.3.5.1. At a time reasonably before the preservation period expiration, the department heads (the University Archivist when the Corporate Document File is preserved at the University Archive) must propose the action to take upon the preservation period expiration for each File among the following three actions:

- Extend the preservation periods,
- Dispose of the Corporate Documents in the Corporate Document File,
- Transfer the Corporate Documents in the Corporate Document File to the National Archive.

Any such proposal must be made in accordance with the guideline[link :] provided by the COO, and must be approved by the COO (as well as endorsed by the concerned department head when the proposal is made by the University Archivist.).

12.3.5.1.1. When the preservation periods are extended, the length of the extended periods must be specified and informed to the University Archivist (s).

12.3.5.1.2. Any Corporate Document that is relevant to any pending claim, audit, investigation, or disclosure requests must be preserved at least until final resolution of the matter. If there are any concerns or questions, the department in charge of the document must consult with the University Archivist (s).

12.3.5.2. Corporate Documents to be disposed after the preservation period expiration must be disposed by the Document Management Administrator (the University Archivist when the Corporate Document is preserved in the University Archive) promptly after the preservation period expiration. When the said Corporate Documents

contain Non-disclosure Information prescribed by the Information Access Act, those Documents must be shredded or incinerated to ensure that such information will not leak.

12.3.5.3. The University Archivist (s) must transfer the Corporate Documents in the File to be transferred to the National Archive promptly after the preservation period expiration.

12.3.6. **Confidential Documents**

Confidential Documents. Employees may have to prepare or acquire Corporate Documents that contain information to be protected by government laws and regulations or the University's policies. Such Corporate Documents must be treated with special care in accordance with the following rules to protect their confidentiality.

12.3.6.1. Corporate Documents that contain confidential information and that should have only limited access must be designated as Confidential Corporate Documents by the department head. Typical examples of confidential information include, but not limited to:

- Medical records
- Student records
- Personnel and payroll records
- Personal finance information
- Information whose disclosure could damage the competitive position of the University
- Information identified by government laws and regulation to be treated as confidential
- Information provided by a third party under a non-disclosure agreement

In this designation, the criteria for Non-Disclosure Information prescribed in the Information Access Act [link: 12.3.7.3.3] should be taken into consideration.

12.3.6.2. Any Confidential Document must be identified by being clearly labeled as "Confidential."

12.3.6.3. Any Confidential Document must be stored separate from other documents and records and in a locked drawer or file cabinet or at other secure places (or electronically locked with passwords). Such documents should not be left lying on desks, workbenches, photocopiers, printers, or any other places where other people easily

access.

12.3.6.4. Employees who need to copy (either physically or electronically) Confidential Documents as part of their duties must obtain a prior approval from the department head in charge of the document.

12.3.7. **Disclosure**

12.3.7.1. Corporate Document File Registry

It is a legal requirement to prepare a Corporate Document File Registry as described in the following paragraphs and to disclose it on the University's external website for convenience of internal and external stakeholders.

12.3.7.1.1. The University Archivist, with supervision by the COO and cooperation from the Document Management Administrators of each department, must prepare an electronic database of the Corporate Document Files ("Corporate Document File Registry" or "Registry.") The Registry must contain the following information:

- Classification
- Title
- Preservation periods
- Preservation period expiration date
- Location
- Medium
- The job title of the department head in charge of the activities during which the Corporate Documents in the File was prepared or acquired.
- Action to be taken upon the preservation period expiration

12.3.7.1.2. The Registry must be updated at least once a year by the University Archivist(s).

12.3.7.1.3. The Registry must be opened to the public on the external website and at the administrative office on the University campus, pursuant to the Document Management Act.

12.3.7.2. Proactive Disclosure

Any university operating in Japan is required to publish the information

regarding status of educational and research activities, and results of the self and external evaluations, in accordance with the School Education Act (Act No. 26 of 1947).
In addition, the University is responsible for proactively providing the information regarding its organization and activities on its website and through other communication tools to meet the disclosure requirements by the Information Access Act.

12.3.7.2.1. Information to Be Disclosed. The information which must be disclosed on the University website and at the administrative office is listed on the Government Ordinance Concerning the Implementation of The Information Access Act. Such information includes:

- Objectives of the institution and a description of its businesses.
- Information of Officers (including information such as the number, names, titles, term of office, and career background of Officers)
- The number of employees
- Standards for paying compensation and retirement allowances to Officers and employees.
- Latest Business Plan and Business Report
- Latest Balance Sheet, Profit and Loss Statement, and other financial documents
- Rules and procedures regarding contracting
- Latest opinions of Auditors
- Latest reports of a certified public accountant or an auditing firm

The COO is responsible for ensuring that all of the information listed in the ordinance is appropriately disclosed. These documents must be disclosed in Japanese.

12.3.7.2.2. The University conducts a wide range of activities, some of which are subject to information disclosure requirements other than those stated above. In such case, the information must be disclosed in compliance with the applicable laws, regulations and government guidelines. The information must be disclosed by the department in charge of the concerned activities. The status of such disclosure will be monitored by the University Archivist (s).

12.3.7.3. Disclosure upon Request

Individuals and other entities, regardless of nationality, may have the right to access the Corporate Documents in possession of the University under the conditions prescribed by the Information Access Act. All disclosure requests must be received and processed in accordance with the applicable provisions of the Act.

12.3.7.3.1. All disclosure requests must be in writing. Disclosure Requests will be received and processed by the COO in close cooperation with General Counsel.

12.3.7.3.2. The departments related to the documents pertaining to the Disclosure Requests will be informed about the request by the University Archivist (s) and must submit the concerned Corporate Documents that they store to the University Archivist (s) immediately.

12.3.7.3.3. Any Corporate Document pertaining to the Disclosure Requests must be disclosed to the Disclosure Requester, unless it contains the Non-disclosure Information prescribed by the Article 5th of the Information Access Act [link:] (Japanese website).

If the Corporate Document contains information subject to non-disclosure/confidentiality restrictions, applicability of the Partial Disclosure (Article 6) and the Discretionary Disclosure for Public Interest (Article 7) prescribed by the Act must be examined.

12.3.7.3.4. Any decision concerning disposition of a Disclosure Requests will be proposed by the COO, based on the Review Standard, with consent from General Counsel. The decisions are notified to the Disclosure Requester in the applicable written form.

The Review Standards [link:] for Disclosure Requests will be developed, pursuant to the Administrative Procedure Act (Act No. 88 of 1993), by the COO and made available to the public on the University website.

12.3.7.3.5. The University is required to establish and publish detailed rules and procedures regarding disclosure methods and fees. The COO is responsible for developing and maintaining such rules and procedures in light of practices of similar public institutions

in Japan, and place them on the University website.

12.3.8. **Protection of Personal Information**

The University's rules of personal information management, as prescribed by the following paragraphs, are intended to ensure that personal information will be appropriately protected.

12.3.8.1. Scope of This Policy. This policy is applied to personal information contained by Corporate Documents, defined by 12.8.2 [link: 12.8.2].

12.3.8.2. General Policy. The University will use and hold personal information only when it is necessary for carrying out its businesses and for achieving its missions. Any proposed or intended University use of personal information must be specifically explained to the extent possible at the time of retention.

12.3.8.3. Handling of Personal Information

12.3.8.3.1. Access to personal information. Employees who may have access to personal information must be designated by the department heads and shall be limited in number to the minimum staff necessary. Even designated individuals may access such information only for stated business purposes. Unauthorized access to personal information is strictly prohibited.

12.3.8.3.2. Copy and Distribution. The following actions related to personal information require a prior approval by the department head.

- Copying
- Distribution (electronically and physically)
- Bringing out media containing personal information
- Other actions which could impede the proper management of personal information

12.3.8.3.3. Errors. Errors in personal information should be corrected promptly upon instruction by the department head.

12.3.8.3.4. Store. Any media containing personal information must be stored at the location designated by the department

head and, when deemed necessary, stored in a locked and fireproof safe. (Refer to 12.3.6.3 for electronic records [link: 12.3.6.3].)

12.3.8.3.5. Disposal. When personal information, or media (including those built in a server or terminal) containing personal information, is no longer needed, the department head must instruct the staff (who have been designated by the department head to be responsible for the said information or media) to delete relevant information and/or destroy relevant media in a manner which makes impossible the restoration or deciphering of the personal information.

12.3.8.3.6. Recording. The status of use and hold of personal information within each department must be recorded in writing in a systematic way by the department head.

12.3.8.4. Outsourcing

12.3.8.4.1. Business operations in which personal information is handled must not be outsourced to a party lacking the capacity to appropriately manage personal information. When outsourcing such business operations in which personal information is handled, the departments in charge must take all necessary measures, such as confirming the management structure, etc., to avoid selection of inappropriate or incompetent parties to manage personal information.
Any contracts for outsourcing must be made in accordance with the guideline [link:] provided by the COO. The Procurement Section [link: 28] is responsible for ensuring that any contracts meet the guideline.

12.3.8.4.2. Any contracts for staff from agencies providing temporary staff must include explicit provisions regarding management and handling of personal information, including confidentiality obligations.

12.3.8.5. IT System and Server Room Security
Most personal information at the University is prepared and held as electronic records. The Chief Information Officer (CIO) [link: 17.4.7], in cooperation with the COO [link: 2.4.4.3], is responsible for ensuring the

appropriate protection of personal information in electronic records. The CIO must take necessary actions [link:] in accordance with the guideline published by the government. Such actions include the following:

- Establish internal guidelines for the management of passwords
- Record access to personal information and store such records
- Prevent unauthorized external access to personal information
- Prevent the unauthorized disclosure and destruction of personal information by infection of IT system by computer virus
- Access management of the server room

For additional security matters regarding IT, refer to Chapter 17, Information Technology and Security [link: 17].

12.3.8.6. Unauthorized Disclosure

12.3.8.6.1. Any person who is aware of unauthorized disclosure of personal information or other security problems related to personal information must immediately report to the department head (and the CIO if the issue is related to IT).

12.3.8.6.2. Department heads are responsible for taking all necessary measures to prevent any harm/damage from an unauthorized disclosure and for making a report on the incident to the COO.

12.3.8.6.3. The COO is responsible for making a report to the President and analyzing the factors resulting in the incident and take necessary measures to prevent further recurrence in collaboration with the CIO and other relevant employees.

12.3.8.6.4. Unauthorized disclosures must be made public if warranted by an examination of the nature and impact of the incident, the measures implemented to prevent reoccurrence, and responses to persons whose personal information was involved.

12.3.8.7. Request for Disclosure, Correction and Suspension of Use.

The Personal Information Protection Act confers a right of access to personal information so that individuals can find out what personal information the University holds about them and check that it is accurate, up to date, and relevant to a function of the University.
All requests for disclosure, correction, and suspension of use are received and processed in accordance with the applicable provisions of the Act.

12.3.8.7.1. The COO is responsible for handling any requests regarding personal information in close cooperation with General Counsel. The requests are handled based on the same procedure specified for the information disclosure requests[link: 12.3.7.3].

The Review Standard for Personal Information Disclosure [link:]
The Detailed Rules and Procedures regarding Personal Information Disclosure Methods and Fees [link:]

12.3.8.8. Handling of Specific Personal Information
Handlings of Specific Personal Information are stipulated in "OIST Regulations on Handling Individual Numbers and Specific Personal Information."

12.3.8.9 It is designated by The Personal Information Protection Act that the University may prepare and provide the Incorporated Administrative Agencies' De-identified Information. The Vice President for Administrative Compliance regulate separately how to handle the ""De-identified Information" by the" Regulations for handling of De-identified Information[link:]."

12.3.9. **Training**
The University Archivist (s), with cooperation from the Training and Education Section must provide training to University employees as necessary to ensure they obtain (or improve) the knowledge and skills required for conducting proper and effective document management, including protection of personal information, in conformance with this policy.

12.3.10. **Internal Auditing**
The Auditing Manager appointed by the COO will conduct periodic inspections and audits of the status of implementation of this policy and make necessary reports to the COO. The COO will take necessary actions to maintain and improve a robust system for protection of information as required by this policy.

12.3.11. **Transition from OIST Promotion Corporation**

All Corporate Documents held by the OIST Promotion Corporation at the time of transition to the OIST School Corporation (OIST SC) must be transferred to the OIST SC and managed in accordance with this policy.

12.4. **Responsibilities**

12.4.1. **Officers and Employees**

All University officers and employees must recognize the importance of appropriate document and record management, including information disclosure and protection of personal information. They are responsible for managing Corporate Documents, including those with personal information, appropriately by following the instructions from their immediate supervisors and department heads and complying with the related laws and regulations as well as this policy.

12.4.2. **COO**

The COO is responsible for general administration of this policy within the University (Executive Supervisor of Document Management), including:

General

- Maintaining this policy and developing necessary guidelines to implement this policy,
- Appointing an Auditing Manager from among the employees in the COO and having the Auditing Manager inspect and audit the status of management of Corporate Documents and personal information within the University,
- Providing necessary supervision, training and guidance to University employees, and
- Making necessary written reports to the Prime Minister or other relevant ministers, pursuant to the related laws and regulations.

Document Management

- Preparing and updating the Corporate Document File Registry,
- Operating the University Archive, and
- Taking necessary actions to transfer Corporate Documents to the National Archive.

Information Disclosure

- Receiving and processing of requests for information disclosure, and making decisions whether or not to accept those requests, and communicating with Disclosure Requesters.
- Establishing and publishing the review standards for the requests

and the detailed rules and procedures regarding disclosure methods and fees.

Protection of Personal Information

- Facilitating the internal communication and coordination necessary to implement this policy and to determine important matters related to the protection of personal information. This includes organizing and chairing a committee consisting of the following members as necessary:
  - Chief Information Officer
  - General Counsel
  - Dean of the Graduate School
  - Vice President for Gender Equality and Human Resource Development
  - Any other employees related to the matter to discuss
- Receiving and processing of requests for disclosure, correction and suspension of use of personal information, and communicating with Disclosure Requesters.
- Establishing and publishing the review standards for the requests of personal information and the detailed rules and procedures regarding disclosure methods and fees.

12.4.3. **Department Heads**

Each department head is responsible for implementation of this policy within the department in charge, including but not limited to the following:

Document Management

- Preparing and updating the Files for Corporate Documents prepared or acquired within the department,
- Taking necessary actions to transferring Corporate Documents to the University Archive or to dispose Corporate Document after the departmental preservation period expiration dates,
- Appointing a Document Management Administrator(s) and having the Administrator(s) carry out necessary tasks to follow this policy, and
- Review annually the status of document and record management within the department and report the results to the COO.

Information Disclosure

- Submit the Corporate Documents pertaining to the Disclosure Requests which are preserved in the department to the COO and provide necessary cooperation to handle Disclosure Requests.

Protection of Personal Information

- Designate staff members to handle personal information within

the department,

- Provide necessary guidance and supervision regarding the protection of personal information within the department, and
- Submit the Corporate Documents containing personal information subject to a Disclosure Requests, correction or suspension of use, which are preserved in the department to the COO and provide necessary cooperation to handle the requests.

If a department head delegates the duties and authority to his/her staff, the department head must inform the COO of such delegation.

12.4.4. **Document Management Administrator**

Document Management Administrator is responsible for managing the Corporate Documents stored in the departments under the supervision of the department head.

12.4.5. **University Archivist**

University Archivist is responsible for managing the Corporate Documents preserved in the University Archive and preparing the Corporate Document File Registry under the supervision of the COO.

12.4.6. **Chief Information Officer**

Chief Information Officer is responsible for take necessary actions, in cooperation with the COO, to ensure that electronic records containing personal information is appropriately managed and protected.

12.5. **Procedures**

12.5.1. How to classify Corporate Documents [link:]

12.5.2. How to access the Corporate Documents preserved at the University Archive

12.6. **Forms**

12.6.1. Corporate Document Disclosure Request Form [link:]

12.6.2. Personal Information Disclosure Request Form [link:]

12.6.3. Personal Information Correction Request Form [link:]

12.6.4. Personal Information Suspension Request Form [link:]

12.7. Contacts

12.7.1. Policy Owner

COO

12.7.2. Other Contacts

University Archivist (Manager, Rules and Procedures Section)
Chief Information Officer

12.8. Definitions

12.8.1. Personal Information

Personal information is information about a living individual, which can identify the specific individual by name, date of birth or other description contained in such information (including information that can be compared with other information and thereby identify the specific individual).

12.8.2. Corporate Document

Corporate Document is a document and record, including any graphics and electromagnetic record (referring to any record created in electronic, magnetic, or any other form that cannot be read without electronic assistance) that is prepared or acquired by University officers or employees and held by the University for organizational use.

Research data, lab notebooks, research papers, and other similar documents and records that are prepared in research activities and which are not intended for the organizational use of the University are not regarded as Corporate Documents.

The definition of Corporate Documents also excludes any official gazettes, white papers, newspapers, magazines, publications, or other materials that are published, and/or are sold, to a large numbers of unspecified persons.

12.8.3. Department

Departments are the basic business unit under the implementation of this policy.

12.8.4. National Archive

National Archive is an archive established by the Independent Administrative Institution National Archives of Japan.

12.8.5. **Officers**

Officers are: the Chief Executive Officer, Vice Executive Officer, Members of the Board of Governors, and Auditors.

12.8.6. **Review Standards**

The review standards are standards provide criteria for judgments on whether requests or applications are to be accepted or not, based on the provisions of related laws and regulations.

Authority: Approved by the President and the Dean of Research

- Industrial Safety and Health Act
- Offensive Odor Control Law
- Act on the Evaluation of Chemical Substances and Regulation of Their Manufacture, etc.
- Explosives Control Act
- High Pressure Gas Safety Act
- Ordinance on Safety and Health of Work under High Pressure
- Fire Service Act
- Water Pollution Prevention Act
- Air Pollution Control Act
- Act on Confirmation, etc. of Release Amounts of Specific Chemical Substances in the Environment and Promotion of Improvements to the Management Thereof
- Poisonous and Deleterious Substances Control Act
- Agricultural Chemicals Control Act
- Narcotics and Psychotropics Control Act
- Waste Disposal and Public Cleansing Act
- Act on the Conservation and Sustainable Use of Biological Diversity through Rules on the Use of Living Modified Organisms
- Act on Domestic Animal Infectious Diseases Control
- Act Concerning the Prevention of Infectious Diseases and Medical Care for Patients with Infectious Diseases
- Rabies Prevention Act
- Plant Protection Act
- Act on the Protection of Fishery Resources
- Invasive Species Act
- Act on Welfare and Management of Animals
- Foreign Exchange and Foreign Trade Control Law

- Act on the Prohibition of Chemical Weapons and the Regulation of Specific Chemicals
- Act on Prevention of Radiation Disease Due to Radioisotopes, etc.
- Act on the Regulation of Nuclear Source Material, Nuclear Fuel Material and Reactors

Chapter 13. Safety, Health & Environmental Protection

13.1 Policy

Through an array of orientation programs including safety matters, research- and job-specific safety and education and training courses, and health and wellness programs, OIST Graduate University ("the University") promotes the safety and health of its students, employees, and others within the University Community. The University also strives to carry out the activities that comprise and support its education and research mission in a manner that will preserve and protect the distinctive natural environment in which the campus is located. This includes conscientious recycling and appropriate handling and disposal of hazardous waste and other waste materials, as well as utilization of energy efficient practices and modalities. Additionally, because Okinawa is located in a unique geological region subject to earthquakes, tsunamis, typhoons, and other natural disasters (and associated fires), the University has in place rigorous Disaster and Emergency Preparedness protocols and training for students and employees.

It is University policy to meet or exceed all legal and regulatory requirements regarding Safety, Health & Environmental Protection ("SHEP") and may impose additional requirements as appropriate. Each member of the University community is expected to comply with the University's policies, rules, and procedures regarding safety (including disaster preparedness), health, and environmental protection in addition to complying with all relevant Japanese legal requirements. The dedication and active commitment of every individual regarding SHEP is critical to the success of the University's safety, health, environmental protection, and disaster preparedness programs.

13.1.1 General Safety Policy

General workplace safety training is important for everyone at the University, even those who believe that they have a non-hazardous desk job. Safety training is one of the most basic and important functions of the University. Safety training provides insight into potential hazards in the workplace, how to

spot them, and what to do once a hazard is recognized. Several forms of training are available, such as group instruction, WEB-based training, or one-on-one sessions. The University requires that all those who operate in the University take safety training programs, including the Basics of Health and Safety program which extensively covers workplace safety matters [link: 13.3.1], and renew program certifications as necessary.

13.1.1.1 Job-Specific Safety Policy. Numerous hazards are job-specific. Operation of machine tools, electrical work, construction, plumbing, and just about any effort involving machinery will expose those doing that work to dangers. Work involving these dangers is subject to stringent occupational safety regulation and training, and those who are engaged in those occupations (or those otherwise carrying-out such activities) at the University must take the relevant safety training [link: 13.3.2].

13.1.1.2 Research Safety Policy. Different experiments pose different potential risks. Individuals involved in conducting experiments must familiarize themselves with all potential risks before starting the experiment so that they can anticipate possible incidents, ensure to follow safe experimental procedures and take safety measures to prevent incidents. Additionally, Faculty members and Lead Investigators must instruct research personnel about appropriate safety measures, and research personnel must follow their instructions and advice. If an accident occurs, OIST personnel must implement appropriate first-aid responses, giving priority to rescuing activities and attending to injured people, and to preventing the spread of damage.

13.1.2 Health & Wellness Policy

The University offers training, programs and medical services to promote the physical and mental health and well being of employees and students and to support a healthy and productive work environment. Employees and students are expected to engage in the University's Health & Wellness programs, to be conscious of their health, to undergo periodic general and specific medical examinations[link: 41.3.1], to pay attention to diet and nutrition, to exercise daily, to get enough sleep each night, and to take time for relaxation and recreation.

13.1.3 Environmental Protection Policy

The University is committed to the continuous development of technologies related to renewable energy, to research in the environmental and associated sciences, and to minimization of energy consumption in its activities. All employees and students are expected to behave in conformance with the University's policy of reducing environmental impact, reducing waste, managing and handling of hazardous waste, and maximizing energy efficiency.

13.1.4 Disaster Preparedness & Emergency Response Policy

In order to minimize the adverse impact of the unpredictable natural and other disasters that may strike, the University has developed and deployed preparedness and emergency response plans. It has also established evacuation areas, evacuation routes, and emergency contacts. University employees and students are expected to familiarize themselves with these preparations, plans and precautions. All members of the University community are expected to also have personal plans for dealing with disasters and emergencies away from the University. For details, see "OIST Graduate University Emergency, Safety and Health Procedures and Guidelines" [link: https://groups.oist.jp/sites/default/files/imce/u745/ESH_procedures_and_guidelines_e_Lab1.pdf].

13.2 General Considerations

13.2.1 Industrial Safety & Health Act and Other Significant Laws

With regard to occupational safety and health, the University's activities are subject to Japan's Industrial Safety and Health Act [link: http://www.japaneselawtranslation.go.jp/law/detail/?id=1926&vm=&re]. In addition, the University has its own Safety and Health Management Rules [link: https://groups.oist.jp/sites/default/files/imce/u318/docs/safety-and-health-management-rules.pdf] and a University Safety and Health Committee [link: https://groups.oist.jp/sites/default/files/imce/u300/Rules%20for%20Safety%20and%20Health%20Committee_dor_0.pdf]. Also, additional laws applicable to the University's various research and academic activities are set out where relevant elsewhere in this Chapter.

13.2.2 Export and Import Compliance

Japan, like most nations, imposes controls, requirements, and duties on the export and import of virtually all goods, including materials and equipment used in basic research of the type conducted at the University. Of grave concern are items, devices, substances, information, and specimens that could be diverted to a military use. Intellectual property such as software, production know-how, and even use manuals are also regulated and controlled by Foreign Exchange and Foreign Trade Control Law (Foreign Exchange Law). Generally, licenses are required for the export of controlled goods. The government also controls, and may require licenses for, the importing of a variety of items, devices, substances, information, and-specimens, including living organisms. Genetically modified organisms are a particular concern in Japan. Goods approved for importation may also be subject to fees/taxes (sometimes referred to as "duties"), although items used in university-based research may be eligible for an exemption from duties. Great care must be exercised and advice from the person in charge at the Occupational Health and Safety Section sought to assure export/import control compliance; for pertinent details, refer to:

- The OIST Rules for Security Export Control [link: https://groups.oist.jp/sites/default/files/imce/u318/docs/rules-for-security-export-control.pdf]
- The University's Security Trade Control WEB site [link: https://groups.oist.jp/rs/security-export-control]
- Security Export Control WEB site (METI) [link: http://www.meti.go.jp/policy/anpo/englishpage.html]
- Foreign Exchange and Foreign Trade Control Law (Foreign Exchange Law) [link: http://www.japaneselawtranslation.go.jp/law/detail/?id=21&vm=04&re=01]

13.2.3 Transporting Biological Agents, Chemical Materials, and Other Regulated Material

Transportation of many research materials, devices, and substances is subject to strict regulations, under the provisions of the Postal Act, Terms and Conditions of Domestic Postal Services, Universal Postal Convention, and IATA Dangerous Goods Rules, among others. Additionally, containers and packaging for transport within Japan and overseas must comply with specific requirements.

Relevant laws affecting import/export of biological agents and chemical materials include:

- Act on the Conservation and Sustainable Use of Biological Diversity through Rules on the Use of Living Modified Organisms (Cartagena Act) [link: http://www.japaneselawtranslation.go.jp/law/detail/?ft=1&re=01&dn=1&x=78&y=10&co=01&ia=03&ky=%E3%82%AB%E3%83%AB%E3%82%BF%E3%83%98%E3%83%8A%E8%AD%B0%E5%AE%9A%E6%9B%B8&page=1]
- Act on Domestic Animal Infectious Diseases Control [link: http://www.japaneselawtranslation.go.jp/law/detail/?re=01&dn=1&x=0&y=0&co=1&ia=03&yo=&gn=&sy=&ht=&no=&bu=&ta=&ky=%E5%AE%B6%E7%95%9C%E4%BC%9D%E6%9F%93&page=1]
- Rabies Prevention Act [link: http://elaws.e-gov.go.jp/search/elawsSearch/elaws_search/lsg0500/detail?lawId=325AC1000000247&openerCode=1]
- Act Concerning the Prevention of Infectious Diseases and Medical Care for Patients with Infectious Diseases [link: https://groups.oist.jp/sites/default/files/imce/u745/Act%20on%20Prevention%20of%20Infectious%20Diseases.pdf]
- Plant Protection Act [link: http://www.japaneselawtranslation.go.jp/law/detail/?re=01&dn=1&x=0&y=0&co=1&ia=03&yo=&gn=&sy=&ht=&no=&bu=&ta=&ky=%E6%A4%8D%E7%89%A9%E9%98%B2%E7%96%AB%E6%B3%95&page=3]
- Invasive Alien Species Act [link: https://www.env.go.jp/en/nature/as/040427.pdf]
- Act on the Protection of Fishery Resources [link: http://www.japaneselawtranslation.go.jp/law/detail/?re=01&dn=1&x=0&y=0&co=1&ia=03&yo=&gn=&sy=&ht=&no=&bu=&ta=&ky=%E6%B0%B4%E7%94%A3%E8%B3%87%E6%BA%90%E4%BF%9D%E8%AD%B7%E6%B3%95&page=7]
- Import and export of chemical materials is regulated by the Act on the Evaluation of Chemical Substances and Regulation of Their Manufacture, etc. (Chemicals Evaluation Act) [link: http://www.japaneselawtranslation.go.jp/law/detail/?id=1957&vm=04&re=02]

13.2.4 Safety-Related Signage

”Safety Signs” warning of hazards and the need for caution are posted at various locations around the campus. Some are temporary warnings, such as used during construction or roadwork. Those placed on laboratory doors are

generally permanent and must be taken seriously. Employees, students, and visitors are expected to notice, read, and obey all safety signs. Safety signs are fabricated and maintained in accordance with University Safety Signs Guidance [link: https://groups.oist.jp/sites/default/files/imce/u745/OSH/Safety-Sign-Guidelines.pdf].

13.2.5 Incident and Accident Response & Reporting

Everyone in the University has a responsibility to respond to and report health or safety incidents and accidents in accordance with the "OIST Graduate University Emergency, Safety, Health Procedures & Guidelines" [link: https://groups.oist.jp/sites/default/files/imce/u745/ESH_procedures_and_guidelines_e_Lab1.pdf] and other relevant rules. Refer to the procedures in 13.5 [link: 13.5] for specific response and reporting procedures. Also, see, the Occupational Health and Safety WEB site [link: https://groups.oist.jp/rs] for further information.

13.2.5.1 HIYARI-HATTO Report/Minor Accident Report

The University promotes the HIYARI-HATTO project to reinforce its efforts to prevent on campus accidents or injuries. "HIYARI-HATTO" means near misses. The project aims at raising awareness towards potential dangers that might be present in research and other daily activities, to prevent actual accidents from taking place. Any person who has witnessed or experienced a HIYARI-HATTO incident or minor accident case is encouraged to report it to the University using the web-form [link: https://groups.oist.jp/hiyari-hatto-project-report-form]. The purpose of receiving such reports is to understand potential dangers associated with the cases to prevent accidents or workplace injuries, not blaming concerned people or reporters. The University will share information in the reports with people at OIST through the University's internal webpage [https://groups.oist.jp/rs/hiyari-hatto-project], after excluding information that could be used to identify particular individuals or Unit/Sections.

13.3 Rules

13.3.1 Training

Training on health and research as well as environmental protection is provided in classroom-based, online and hands-on forms. At the University, all persons who operate in the University, regardless of their affiliation or how long they have been or will be operating at the University, must select and take any trainings that are required for the type of activity they plan to engage in, before engaging in it or

before submitting the required application. Certification of trainings is generally valid for five years; however, certification of some trainings expires earlier. In addition, all persons are required to take the Basics of Health and Safety and the Update Session on Research Safety and Ethics every year to renew certification of these trainings. Renewal of certification of required trainings must be completed before expiry. In addition to taking the required trainings, supervisors such as faculty members and section leaders must also inform faculty and staff members working under them and any visiting researchers and students they are hosting about all required trainings, and confirm that they have completed these trainings. For details, see Appendix [link:xxx].

13.3.1.1 Basics of Health and Safety

The Basics of Health and Safety is a comprehensive training on health and safety and environmental protection, which is also one of the important initial trainings that all new personnel at OIST must receive. Its training material puts together all the basic health and safety matters that those operating at OIST ought to know. It enables trainees to develop an overall understanding of emergency procedures, applicable legal and regulatory requirements as well as University rules. All University students and employees, including clerical workers (and contract workers) not directly engaged in research or experiments, must receive this training. The material is updated as necessary, to include revision of laws and regulatory provisions as well as University rules. Certification of this training is valid only for one year, and thus all persons are required to complete annual renewal by receiving the training again before expiry.

13.3.1.2 Update Session on Research Safety and Ethics

The University provides an update session on the Industrial Safety and Health Act and other updates on laws, regulations, guidelines and the University rules concerning health and safety including research safety and ethics, as well as other substantial information in terms of health and safety, approximately once a year. This session is essential means for building common understanding of revisions to laws and regulations as well as the latest developments of matters relating to safety and health. Wet lab members and staff members of Research Support Division must take the annual update session.

13.3.1.3 Responsible Conduct of Research

The Guidelines for Responding to Misconduct in Research (Decision by the Minister of Education, Culture, Sports, Science and Technology,

August 26, 2014) require research institutions such as universities to provide research ethics education to a wide range of persons who are involved in their research activities. All persons who are involved in research activities or operations for supporting research at the University must take the Responsible Conduct of Research program. Administrative employees who are not directly involved in research activities are also strongly recommended to take this program. [link: 4.8.2] Additionally, taking research ethics materials provided by an institution other than OIST is also encouraged. Of note, those who have acquired an external research grant may be required to take an additional research ethics material by the funding agency. Certification of this program is valid for five years.

13.3.1.4 Required Trainings for Personnel who Operate in the University

To perform certain types of work, personnel must take certain trainings which are required by laws, regulations and guidelines, or are necessitated to operate safely. Those who are engaged in an activity at the University must complete all required trainings before the commencement of the activity or application procedures relating to it. Information on required trainings for specific works can be obtained from the relevant laws and regulatory provisions as well as the University's Health and Safety website. [link: https://groups.oist.jp/rs/industrial-safety-and-health] Persons who operate at the University are recommended to additionally take a broad range of programs even if they are not mandatory. In addition, if training programs consist of multiple modules, including those of mandatory and non-mandatory, likewise, trainees should willingly take non-mandatory modules as well.

Persons who are engaged in waste collection or cleaning as well as outside contractors who have access to laboratory areas must complete the Advanced Safety Program on Health and Safety in advance of the commencement of the work and, subsequently, at least once in five years.

13.3.2 Hazardous Work and Handling of Harmful Agents

The following general rules must always be observed when performing hazardous work or handling harmful agents:

(1) When handling an apparatus or equipment that involves high temperatures, high pressure, high voltage or high speed or that is heavy weight, use appropriate protective measures and equipment and

work attentively.

(2) Before using an apparatus or equipment that is new to the operator, the operator must carefully read operation manuals, do any other appropriate preparation work and ask for guidance from a person who has experience in using the apparatus or equipment.

(3) Before operating an apparatus, device, or equipment that requires a particular skill, the potential user must be familiar with basic operations of the apparatus or equipment.

(4) After use, the apparatus, device, or equipment - and the surrounding areas - must be cleaned up; if any defect is found, it must be promptly repaired (or the next user notified of the problem).

(5) The following personal protective equipment must be provided and used as necessary:

- Protective equipment for eyes and face (such as glasses with face shield)
- Protective equipment for body, hands and feet (such as protective clothes, gloves and safety shoes)
- Protective equipment for respiration (such as dust respirator, gas mask and air respirator)

(6) Maintain personal protective equipment so as to be used in the best condition anytime and clearly indicate the place where they are stored.

(7) Be familiar with how to wear personal protective equipment so that they can be worn quickly and appropriately when necessary.

(8) After use, personal protective equipment must be sterilized appropriately and stored in an appropriate place.

(9) Employees who are engaged in work with limitations on working conditions or work specified as dangerous or harmful work under the Industrial Safety and Health Act or any other relevant laws must have license or have completed skill trainings or special trainings required by the Act or such laws.

13.3.3 Machinery, Equipment, Instruments & Devices

In performing their duties for the University, workers may make use of a variety of machines, equipment, devices, tools and instruments, large and small, simple and complex, from hammers and welding torches to cranes and lasers (collectively referred to as “equipment”). All workers must read the related manuals thoroughly to understand and know the measures how to avoid or mitigate hazards.

13.3.3.1 Equipment that Require License or Notification

The Industrial Safety and Health Act or any other relevant laws may require a potential user of certain equipment to obtain license or submit a notification for the use in advance; for details, see "OIST Safety and Health Management Rules [link: https://groups.oist.jp/sites/default/files/imce/u318/docs/safety-and-health-management-rules.pdf] " and the University's pertinent website [link: https://groups.oist.jp/rs/regulated-equipment]. However, for any license or notification procedures which involve the Fire Prevention Ordinance of the Okinawa Prefecture, the Facility Management Section will act as the contact office for communication between the University and the Okinawa Prefecture.

13.3.3.2 Unattended Operation of Equipment

Although refrigerators, freezers and incubators operating in an intermediate temperature range may be left unattended exceptionally, the general rule is that no equipment may be left unattended while operating (including overnight operation). However, in the case of low risk machines that are provided with safety devices, unattended operation may be conducted if all pertinent ancillary safety precautions are in effect. When performing unattended operation, the following notices must be posted:

- On the equipment, indicate that unattended operation or overnight operation is scheduled;
- On the equipment, post a description of the current operation and provide emergency response and contact person information.

13.3.3.3 Equipment Requiring Periodic Inspection

The Industrial Safety and Health Act or any other relevant laws may require periodic inspection on certain equipment and installations; for details, see "OIST Safety and Health Management Rules [link: https://groups.oist.jp/sites/default/files/imce/u318/docs/safety-and-health-management-rules.pdf] " and the University's pertinent website [link: https://groups.oist.jp/ja/rs/regular-checking-equipment].

13.3.3.4 Use of Laser

Refer to "Laser Safety Management Rules [link: https://groups.oist.jp/sites/default/files/imce/u318/docs/Laser_Safety_

Management_Rules.pdf]" and "Laser Safety Standards [link: https://groups.oist.jp/sites/default/files/imce/u745/Laser_Safety_Standards.pdf]" for use of laser.

13.3.3.5 Use of X-ray Instruments

The necessary requirements to ensure the safe and appropriate use of X-ray instruments are stipulated in "X-ray Instruments Management Rules" [link: https://groups.oist.jp/sites/default/files/imce/u318/docs/X-ray-Instrument-Management-Rules.pdf]. The University's X-ray instrument website is [link: https://groups.oist.jp/x-ray-instrument].

13.3.3.6 Mechanical Workshop

In order to obtain permission to enter the Mechanical Workshop and to use the equipment, a user must apply to the Mechanical Engineering & Microfabrication Support Section and successfully complete the training concerning safe use of the equipment beforehand. When using the equipment, a user must pay attention to safe operation, following the rules set by the Mechanical Engineering & Microfabrication Support Section.

13.3.4 Rules for Working with Electrical Hazards

Electricity, especially high-voltage electricity, can be extremely dangerous to work with or around. It poses a serious risk to human life, as well as to property, if not properly, appropriately, and carefully managed and handled. All persons working with electricity must make efforts to prevent electrical accidents or injuries and conduct the electrical work under the supervision of the Electrical Chief Engineer whenever such work is needed. When conducting electrical work on campus, the procedures for electrical work [link: Procedures for Electrical Work] must be observed.

13.3.5 High Pressure and Liquefied Gas

In the case of handling high pressure or liquefied gas, the person must comply with the requirements of the "High Pressure Gas Safety Act" [link: http://www.japaneselawtranslation.go.jp/law/detail/?ft=1&re=01&dn=1&x=65&y=25&co=01&ia=03&ky=%E9%AB%98%E5%9C%A7%E3%82%AC%E3%82%B9%E4%BF%9D%E5%AE%89%E6%B3%95&page=6], which regulates the use of compressed gases and stipulates in detail how to use these gases. Liquefied gases that can become 0.2 MPa are also regulated as high pressure gases such as petroleum gas, compressed acetylene gas, liquefied hydrogen cyanide, liquefied ethylene oxide and liquefied bromomethyl. Those using such

regulated high pressure/liquefied gas must undergo training concerning high pressure gas and must use the high pressure gases in safe manner, undertaking all necessary safety measures in compliance with the High Pressure Gas Safety Law.

13.3.6 Experiment/Research required *Institutional Review*

If an experiment involves recombinant DNA [link: 13.3.7], pathogens and toxins [link: 13.3.8], laboratory animals [link: 13.3.9], radiation [link: 13.3.10], human subjects research [link: 13.3.11], field work [link: 13.3.13], or laser [link: 13.3.3.4], the experimenter must submit an application to the pertinent secretariat (Section in charge) for review by the pertinent Institutional Review Committee before commencing the experiment and obtain approval from the Dean of Research.

The Institutional Review Committees established in the University are:

- Biosafety Committee
- Animal Experiment Committee
- Radiation Safety Committee
- Human Subjects Research Committee
- Field Work Safety Committee
- Laser Safety Advisory Committee

13.3.7 Recombinant DNA Experiments

Operation of Recombinant DNA Experiments must comply with the following Rules and Acts, and other legal and regulatory provisions. In addition, completion of appropriate training programs and necessary procedures is also required before commencing any experiments in this category. When procuring or acquiring living modified organisms (LMOs) from or providing LMOs to other institutions, necessary procedures must be completed beforehand, in compliance with all legal and regulatory provisions concerning import/export as well as the rules of a carrier of international shipment.

- OIST Graduate University Recombinant DNA Experiment Rules [link: https://groups.oist.jp/sites/default/files/imce/u745/Biosafety/Recombinant-DNA-Experiment-Rules.pdf]
- OIST Graduate University Biosafety Management Rules [link: https://groups.oist.jp/sites/default/files/imce/u745/Biosafety/Biosafety-Rules.pdf]

- OIST Graduate University Biosafety Committee Rules [link: https://groups.oist.jp/sites/default/files/imce/u745/Biosafety/Biosafety-Committee-Rules.pdf]
- OIST Biosafety Manual [link: https://groups.oist.jp/sites/default/files/imce/u697/docs/biosafetymanual_ver100_en.pdf]
- Act on the Conservation and Sustainable Use of Biological Diversity through Rules on the Use of Living Modified Organisms [link:http://www.japaneselawtranslation.go.jp/law/detail/?re=01&dn=1&x=0&y=0&co=1&ia=03&yo=&gn=&sy=&ht=&no=&bu=&ta=&ky=%E9%81%BA%E4%BC%9D%E5%AD%90%E7%B5%84%E6%8F%9B%E3%81%88%E7%94%9F%E7%89%A9%E7%AD%89%E3%81%AE%E4%BD%BF%E7%94%A8%E7%AD%89%E3%81%AE%E8%A6%8F%E5%88%B6&page=1]
- Recombinant DNA WEB site (Occupational Health and Safety) [link: https://groups.oist.jp/rs/recombinant-dna]
- Japan Biosafety Clearing-House (J-BCH) [link: http://www.biodic.go.jp/bch/english/e_index.html]

13.3.8 Experiments Handling Pathogens and Toxins

Operation of Experiments handling Pathogens and Toxins must comply with the following Rules and Acts, and other legal and regulatory provisions. In addition, completion of appropriate training programs and necessary procedures is also required before commencing any experiments in this category. When procuring or acquiring pathogens and toxins from or providing them to other institutions, necessary procedures must be completed beforehand, in compliance with all legal and regulatory provisions concerning import/export as well as the rules of a carrier of international shipment. Of note, a wide variety of biological agents are subject to the biosafety committee review at OIST.

- OIST Graduate University Biosafety Management Rules [link: https://groups.oist.jp/sites/default/files/imce/u745/Biosafety/Biosafety-Rules.pdf]
- OIST Graduate University Biosafety Committee Rules [link: https://groups.oist.jp/sites/default/files/imce/u745/Biosafety/Biosafety-Committee-Rules.pdf]
- OIST Biosafety Manual [link: https://groups.oist.jp/sites/default/files/imce/u318/docs/biosafetymanual_ver100_j.pdf]
- National Institute of Infectious Diseases Safety Management Regulations

for Pathogens and Toxins [link: http://www0.nih.go.jp/niid/Biosafety/kanrikitei3/Kanrikitei3_1006.pdf]

- Act Concerning the Prevention of Infectious diseases and Medical Care for Patients with Infectious Diseases [link: http://www.japaneselawtranslation.go.jp/law/detail/?id=2830&vm=04&re=02]
- Pathogens and Toxins WEB site (Occupational Health and Safety) [link: https://groups.oist.jp/rs/pathogens-and-toxins]

13.3.9 Animal Experiments

- Operation of Animal Experiments must comply with the following Rules and Acts, and other legal and regulatory provisions. In addition, completion of appropriate training programs and necessary procedures is also required before commencing any experiments in this category. When procuring or acquiring laboratory animals from or providing them to other institutions, necessary procedures must be completed beforehand, in compliance with all legal and regulatory provisions concerning import/export as well as the rules of a carrier of international shipment.
- OIST Graduate University Animal Experiment Regulations [link: https://groups.oist.jp/sites/default/files/imce/u1465/Animal%20Experiment%20Regulations.pdf]
- OIST Graduate University Detailed Stipulations for Animal Care and use Committee [link: https://groups.oist.jp/sites/default/files/imce/u1465/Detailed%20Stipulations%20for%20Animal%20Care%20and%20Use%20Commi.pdf]
- OIST Graduate University Detailed Stipulations for the Vivarium Operation Committee [link: https://groups.oist.jp/sites/default/files/imce/u1465/Detailed%20Stipulations%20for%20the%20Vivarium%20Operation%20Committee.pdf]
- SOP [link: https://groups.oist.jp/ja/ars/laws-regulations-and-sop]
- Act on Welfare and Management of Animals [link: http://www.japaneselawtranslation.go.jp/law/detail/?id=61&vm=04&re=01]
- Standards Relating to the Care and Management of Laboratory Animals and Relief of Pain (MOE) [link: https://www.env.go.jp/nature/dobutsu/aigo/2_data/laws/nt_h25_84_en.pdf]

- Fundamental Guidelines for Proper Conduct of Animal Experiment and Related Activities in Academic Research Institutions (MEXT) [link: http://www.qda.med.kyushu-u.ac.jp:8080/koukai/rules/Fundamental%20Guidelines.pdf]
- Guidelines for Proper Conduct of Animal Experiments (Science Council of Japan)" [link: http://www.scj.go.jp/ja/info/kohyo/pdf/kohyo-20-k16-2e.pdf]
- Act on Domestic Animal Infectious Diseases Control [link:

  http://www.japaneselawtranslation.go.jp/law/detail/?re=01&dn=1&x=0&y=0&co=1&ia=03&yo=&gn=&sy=&ht=&no=&bu=&ta=&ky=%E5%AE%B6%E7%95%9C%E4%BC%9D%E6%9F%93&page=1]
- Act on the Conservation and Sustainable Use of Biological Diversity through Rules on the Use of Living Modified Organisms [link http://www.japaneselawtranslation.go.jp/law/detail/?ft=1&re=01&dn=1&x=48&y=16&co=01&ia=03&ky=%E9%81%BA%E4%BC%9D%E5%AD%90%E7%B5%84%E6%8F%9B%E3%81%88%E7%94%9F%E7%89%A9%E7%AD%89%E3%81%AE%E4%BD%BF%E7%94%A8%E7%AD%89%E3%81%AE%E8%A6%8F%E5%88%B6%E3%81%AB%E3%82%88%E3%82%8B%E7%94%9F%E7%89%A9%E3%81%AE%E5%A4%9A%E6%A7%98%E6%80%A7%E3%81%AE%E7%A2%BA%E4%BF%9D%E3%81%AB%E9%96%A2%E3%81%99%E3%82%8B%E6%B3%95%E5%BE%8B&page=1]
- Control on animal import [link: http://www.mhlw.go.jp/english/topics/importanimal/]
- Animal Resources Section WEB site [link: https://groups.oist.jp/ja/ars]

13.3.10 Experiments Involving the Use of Radiation

Operation of experiments involving use of radiation must comply with the following Rules and Acts, and other legal and regulatory provisions. In addition, completion of appropriate training programs and necessary procedures is also required before commencing any experiments in this category. Only the Radiation Protection Supervisor can handle the procurement procedures of Radioisotopes. Of note, the "Act concerning Prevention of Radiation Hazards due to Radioisotopes, etc." may require installation of equipment generating radiation be performed under a permit obtained from or a notification submitted to the regulatory authority in advance of the installation.

- OIST Graduate University Rules for Prevention of Radiation Hazards [link: https://groups.oist.jp/sites/default/files/imce/u318/docs/Rules-for-Prevention-of-Radiation-Hazards.pdf]

- OIST Graduate University Instructions on Prevention of Radiation Hazards [link: https://groups.oist.jp/sites/default/files/imce/u318/docs/Instructions-for-Prevention-of-Radiation-Hazards.pdf]
- OIST Graduate University Rules for Radiation Safety Committee [link: https://groups.oist.jp/sites/default/files/imce/u318/docs/Rules-for-Radiation-Safety-Committee.pdf]
- OIST Graduate University Instructions for Joint Use of RI Facility [link: https://groups.oist.jp/sites/default/files/imce/u318/docs/Instructions-for-Joint-Use-of-RI-Facility.pdf]
- Manual for the handling of Radioisotopes [link: https://groups.oist.jp/sites/default/files/imce/u318/docs/ri_manual_e.pdf]
- Act Concerning Prevention of Radiation Hazards due to Radioisotopes, etc. [link: http://www.japaneselawtranslation.go.jp/law/detail/?ft=1&re=01&dn=1&x=56&y=25&co=01&ia=03&ky=%E6%94%BE%E5%B0%84%E6%80%A7%E5%90%8C%E4%BD%8D%E5%85%83%E7%B4%A0%E7%AD%89%E3%81%AB%E3%82%88%E3%82%8B%E6%94%BE%E5%B0%84%E7%B7%9A%E9%9A%9C%E5%AE%B3%E3%81%AE%E9%98%B2%E6%AD%A2%E3%81%AB%E9%96%A2%E3%81%99%E3%82%8B%E6%B3%95%E5%BE%8B&page=5]
- RI WEB site (Occupational Health and Safety)[link: https://groups.oist.jp/rs/radioisotopes]

13.3.11 Human Subjects Research

Operation of Human Subjects Research must comply with the following Rules and Guidelines, and other legal and regulatory provisions. In addition, completion of appropriate training programs and necessary procedures is also required before commencing the research. To handle Human Specimens, infection prevention measures against blood-borne pathogens must be taken. When procuring or acquiring Human Specimens from or providing them to other institutions, necessary procedures must be completed in compliance with all legal and regulatory provisions concerning import/export as well as the rules of a carrier of international shipment.

- OIST Graduate University Human Subject Research Rules [link: https://groups.oist.jp/sites/default/files/imce/u300/human%20subjects%20research%20rules%201.02_dor.pdf]
- OIST Graduate University Detailed Information on Human Subjects Research [link: https://groups.oist.jp/sites/default/files/imce/u300/detailed%20infor

mation%20on%20human%20subjects%20research%201.01.pdf]

- OIST Graduate University Human Subjects Research Committee Rules [Link: https://groups.oist.jp/sites/default/files/imce/u300/rules%20for%20human%20subjects%20research%20review%20committee%201.02_dor.pdf]
- OIST Graduate University Human Subject Research Manual [link:]
- Ethical Guidelines for Medical and Health Research Involving Human Subjects [link: http://www.lifescience.mext.go.jp/files/pdf/n1500_01.pdf]
- Declaration of Helsinki (WMA) [link: https://www.wma.net/policies-post/wma-declaration-of-helsinki-ethical-principles-for-medical-research-involving-human-subjects/]
- The Belmont Report (The National Commission for the Protection of Human Subjects of Biomedical and Behavioral Research) [link: http://www.hhs.gov/ohrp/humansubjects/guidance/belmont.html]
- Human Subjects Research WEB site (Occupational Health and Safety) [link: https://groups.oist.jp/rs/human-subjects-research]
- Health and Labour Sciences Researches WEB site (MHLW)[link: http://www.mhlw.go.jp/stf/seisakunitsuite/bunya/hokabunya/kenkyujigyou/i-kenkyu/] (Japanese website)
- Ministry of Education, Culture, Sports, Science and Technology, Bioethics and Biosafety WEB site (MEXT) [http://www.lifescience.mext.go.jp/bioethics/index.html] (Japanese website)

13.3.12 Chemical Materials

(Rules that apply to Radioisotopes (RIs) are described in the section of Experiments Involving the Use of Radiation [link 13.3.10].) Handling, use and storage of chemical materials at the University must comply with "OIST Graduate University Rules for the Management of Chemical Materials," the "Industrial Safety and Health Act" and other relevant legal and regulatory provisions. A user of chemical materials must be aware that safety requirements differ depending on each specific chemical. In addition, completion of all necessary training programs is required before commencing any experiments involving use of chemical materials.

- Occupational Health and Safety WEB site [link: https://groups.oist.jp/rs]
- Chemical Hazards Control Division WEB site (MHLW) [link:_ http://www.mhlw.go.jp/new-info/kobetu/seikatu/kagaku/]

(Japanese website)

- Chemical Management Policy WEB site (METI) [link: http://www.meti.go.jp/policy/chemical_management/] (Japanese website)
- National Institute of Technology and Evaluation (NITE) [link: http://www.nite.go.jp/en/index.html]

13.3.12.1 Basic Chemical Safety Rules

- Before working with any new chemical materials, use Chemical Risk Information Platform (CRIP) and Material Safety Data Sheet (MSDS).
- Wear appropriate personal protective equipment (such as lab coat, rubber gloves, safety glasses and masks).
- Consider a lower risk alternative, if a chemical material that you intend to work with poses a high potential risk.
- Before use, again review the physical and chemical properties of chemical materials that you will work with, along with information concerning hazards and disposal methods.
- Plan and take safety measures to prevent potential accidents and mitigate hazards.

13.3.12.2 Export/Import of Chemical Materials

In Japan, the "Act on the Evaluation of Chemical Substances and Regulation of Their Manufacture, etc." has been established to evaluate whether new chemical substances to be manufactured or imported have harmful properties to humans, and to control the manufacture, import and use of chemical substances posing the risk of impairing human health through the environment. Those who intend to import chemical materials must contact the Chemical Materials Safety Supervisor at Occupational Health and Safety, and take necessary instructions from the Supervisor.

- Chemical Materials WEB site [link: https://groups.oist.jp/rs/chemical-materials]
- Chemical Management WEB site (METI) [link: http://www.meti.go.jp/policy/chemical_management/index.html] (Japanese website).

13.3.12.3 Transport of Chemical Materials

Transport of chemical materials is controlled by the provisions of the Postal Act, Terms and Conditions of Domestic Postal Services,

Universal Postal Convention, IATA Dangerous Goods Rules, etc., and transportable goods are specified in these stipulations. Containers and packages for transport must comply with specific requirements.

Contact the carrier or shipping company, as they may decline to handle delivery of dangerous goods or quarantine items. See 13.2.2 [link: 13.2.2] in this Chapter, and the University's Security Trade Control website [link: https://groups.oist.jp/rs/security-export-control].

13.3.12.4 Special Requirements for handling Chemical Materials

The chemical materials listed below have been deemed hazardous by regulatory agencies and are subject to stringent requirements regarding their handling, management and storage. In addition, if a non-listed chemical material is expected to pose a hazard similar to those associated with any of the below-listed chemical materials, then those safe handling requirements apply. Further, other relevant legal and regulatory provisions and OIST Rules must also be observed as well:

(a) Organic solvents (Ordinance on the Prevention of Organic Solvent Poisoning) [link: http://law.e-gov.go.jp/htmldata/S47/S47F04101000036.html]

(b) Specified chemical substances (Ordinance on Prevention of Hazards due to Specified Chemical Substances) [link: http://law.e-gov.go.jp/htmldata/S47/S47F04101000036.html]

(c)) Poisonous substances[link: https://groups.oist.jp/sites/default/files/imce/u318/docs/3Poisonous-materials.pdf], Deleterious substances[link: https://groups.oist.jp/sites/default/files/imce/u318/docs/4Deleterious-materials.pdf] and Specified Poisonous Substances[link: https://groups.oist.jp/sites/default/files/imce/u318/docs/5Specified-Poisons.pdf] (Poisonous and Deleterious Substances Control Act)

(d) Dangerous materials (Fire Service Act) [link: https://groups.oist.jp/sites/default/files/imce/u318/docs/6Hazardous-materials.pdf]

(e)) High pressure gas (High Pressure Gas Safety Act) [link: https://groups.oist.jp/sites/default/files/imce/u318/docs/9High-pressure-gas.pdf]

(f) Narcotics [link : https://groups.oist.jp/sites/default/files/imce/u697/docs/Narcotics-list_en.pdf , https://groups.oist.jp/sites/default/files/imce/u697/docs/Psychotropics-list_en.pdf]（Narcotics and Psychotropics Control

Act）

(g) Nuclear fuel material (*Act on the Regulation of Nuclear Source Material, Nuclear Fuel Material and Reactors)* [link: http://www.japaneselawtranslation.go.jp/law/detail/?x=33&y=18&re=01&co=1&ia=03&yo=&gn=&sy=&ht=&no=&bu=&ta=&ky=%E6%A0%B8%E5%8E%9F%E6%96%99%E7%89%A9%E8%B3%AA%E3%80%81%E6%A0%B8%E7%87%83%E6%96%99%E7%89%A9%E8%B3%AA%E5%8F%8A%E3%81%B3%E5%8E%9F%E5%AD%90%E7%82%89%E3%81%AE%E8%A6%8F%E5%88%B6%E3%81%AB%E9%96%A2%E3%81%99%E3%82%8B%E6%B3%95%E5%BE%8B&page=1]

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- OIST Graduate University Rules for the Management of Chemical Materials [link: https://groups.oist.jp/sites/default/files/imce/u318/docs/rules-on-chemicals.pdf]
- OIST Graduate University Rules for Poisonous and Deleterious Substances Management [link: https://groups.oist.jp/sites/default/files/imce/u318/docs/rules-on-poisonous-and-deleterious-substances.pdf]
- OIST Graduate University Narcotics/Psychotropics Management Rules [link: https://groups.oist.jp/sites/default/files/imce/u318/docs/narcotics psychotropics-management-rules.pdf]
- OIST Graduate University Rules for the Management of Nuclear Fuel Materials [link: https://groups.oist.jp/sites/default/files/imce/u318/docs/Rules-for-the-Management-of-Nuclear-Fuel-Materials.pdf]
- OIST Chemical Management Manual [link: https://groups.oist.jp/sites/default/files/imce/u318/docs/chemical_manual_e.pdf]
- OIST Narcotics and Psychotropics Manual [link:]

13.3.13 Field Work

Field work involve risks and dangers which are different from those that may be present in indoor academic or research activities. Besides, access to work sites and collection of biological resources are subject to restrictions imposed by various legal and regulatory provisions. Thus, operation of field work require careful planning of the work, taking measures to ensure safety, and acting in strict compliance with the law. People who intend to conduct any field work

must carefully read OIST Rules for Field Work and OIST Field Work Manual [link: https://oist-prod-groups.s3-ap-northeast-1.amazonaws.com/s3fs-public/imce/u103453/oist_en_a4_1007.pdf] beforehand, and complete all appropriate training programs, acquire required qualifications, and receive designated health examinations.

13.3.14 Rules Regarding Health & Wellness

All University students and employees must pay attention to their own health and wellness in addition to complying with safety rules. In particular, each work area should be free of hazards and contain the proper equipment, should be appropriately lighted, should provide ergonomically correct tools, equipment, and furniture, and should be properly ventilated. Students and employees should also be mindful of the need for enough sleep each day, for a modicum of daily exercise, for a nutritious diet, and for periods of relaxation and recreation.

13.3.15 Rules Concerning Environmental Protection

University students and employees must perform their University duties in compliance with the following:

1. Reduce energy consumption and greenhouse-gas emission by using facilities and apparatus/equipment efficiently;
2. Manage/handle hazardous materials in keeping with legal and University requirements to prevent release to the environment.
3. Participate in training sessions concerning environmental protection.
4. Actively exchange information that promotes environmental protection activities.
5. Minimize waste and reuse resources where feasible.

13.3.15.1 Waste Management

Management of waste must comply with the following Rules and Acts, and other legal and regulatory provisions. All training programs and procedures required for such work must be completed before commencing work. Appropriate protective gear must be worn in carrying out waste handling and disposal:

- OIST Graduate University Rules for Waste Management" [link : https://groups.oist.jp/sites/default/files/imce/u318/docs/Rules_for_the_Management_of_Waste_111101.pdf]
- OIST Graduate University Manual for the Management of Waste" [link: https://groups.oist.jp/sites/default/files/imce/u318/docs/waste_manual_e.pdf]

- Waste Disposal and Public Cleansing Act [link: http://www.env.go.jp/en/laws/recycle/01.pdf]

13.3.16 Disaster Preparedness & Emergency Response Rules Prevention of hazardous incidents and appropriate responses under an emergency situation is possible if each person knows what an emergency situation is like and what to do in response. Employees and students must maintain preparedness by periodically reviewing emergency response procedures, emergency contacts, evacuation routes, for the areas where they work. Employees and students must read and understand "University Emergency, Safety, Health Procedures & Guidelines" [link: https://groups.oist.jp/sites/default/files/imce/u745/ESH_procedures_and_guidelines_e_Lab1.pdf]. Employees and students should also prepare an individual emergency response plan based on the specifics of their work. Please refer to the "Typhoon Guidelines" [link: https://hr.oist.jp/sites/default/files/files/Typhoon_Guideline_JP_20160224.pdf] in case of typhoon. For earthquake, take necessary preparedness measures in accordance with the "Earthquake Preparedness Manual" [link: xxx].

13.4 Responsibilities

13.4.1 All Employees and Students

The University's safety management is based on the premise that all members of the OIST community shares responsibility for ensuring safety. Every member of the OIST community must comply with the University's safety, health, environmental protection, and disaster preparedness program.

13.4.2 Faculty members and Section Leaders

Faculty members and section leaders fall into the "foremen" under Article 60 of the Industrial Safety and Health Act (those who directly guide or supervise workers in operations), and have the following responsibilities: they are primarily responsible for the safety and environmental sanitation of their laboratory or workplace, and must have an understanding of the hazards associated with operation and/or research and disseminate the information on hazards to their members under their supervision; they also need to set and reinforce safety standards for their laboratory and/or office, having their members receive proper training on general and lab-specific hazards and making sure that the members are using the appropriate equipment following proper procedures; they need to have their members receive designated health examinations and make sure that the members have completed the health examinations; they are also required to make

sure that the members comply with relevant legal and regulatory provisions, and OIST Rules and follow proper procedures; further, during lab rotation and when appointed to a PhD Thesis Supervisor, they are primarily responsible for ensuring safety and environmental sanitation of the students.

13.4.3 Fire Safety Manager

Fire Safety Manager is responsible for fire prevention management for the University. This includes preparing a fire defense plan, providing drills for fire fighting and evacuation, enabling emergency reporting and evacuation, ensuring inspection and management of fire extinguishers and similar equipment, and other efforts to prevent fires and mitigate the effects of both man-caused and natural disasters.

13.4.4. Manager of Occupational Health and Safety

Manager of Occupational Health and Safety is responsible for ensuring research in the University compliance with requirements of the University's rules, and legal and regulatory provisions.

13.4.5 Manager of Animal Resources Section

Manager of Animal Resources Section is responsible for ensuring safety, and health, environmental protection, and disaster preparedness in Animal Facilities and Animal Experiments.

13.4.6 Manager of General Facility Management Section

Manager of General Facility Management Section is responsible for management and maintenance of facilities in a manner that will ensure the workplace safety and health, environmental protection, and disaster preparedness.

13.4.7 Research Personnel

In order to avoid unnecessary risk to themselves and/or other researchers, individuals engaging in research at OIST, regardless of their titles such as researcher, technician or student, are responsible for conducting experiments only when they acquire sufficient knowledge and understanding of health and safety issues associated with research activities. To this end, research personnel must actively participate in a variety of educational and training programs on safety and health, and follow appropriate instructions and

advice from faculty members, section leaders and personnel associated with OIST safety management duties, including principle investigators, as listed below.

13.4.8 Specific Research-Related Responsible Roles

- Biosafety Officer: Must ensure compliance with legal and regulatory provisions as well as the University Rules so that the operation of Recombinant DNA Experiment and Experiment Handling Pathogens and Toxins is appropriately performed in the University.
- Human Subject Research Officer: Must ensure compliance with legal and regulatory provisions, and guidelines as well as the University Rules so that the operation of Human Subject Research is appropriately performed in the University.
- Personal Information Officer for Human Subjects Research: Must manage personal information to ensure appropriate protection of personal information related to Human Subject Research in the University.
- RI Facility Director: Must manage and mitigate radiation hazards and ensure compliance with legal and regulatory provisions as well as the University Rules so that experiments using radioisotopes are appropriately performed in the University.
- Radiation Protection Supervisor: Assists the RI Facility Director, and must ensure compliance with legal and regulatory provisions as well as the University Rules such that the prevention of radiation hazards and the implementation of proper experiments are ensured.
- Chemical Materials Safety Officer: Must ensure compliance with legal and regulatory provisions as well as the University Rules so that the handling of chemical materials is appropriately performed in the University.
- Diving Safety Officer: Must ensure safety and compliance with legal and regulatory provisions, as well as the University Rules, for diving and snorkeling, through activities such as reviewing plans involving diving or snorkeling before institutional review by the Field Work Safety Committee, and providing safety training (including hands-on trainings) and giving guidance necessary for diving or snorkeling.
- Animal Experiment Coordinator: Must ensure compliance with legal and regulatory provisions, and guidelines as well as the University Rules so that the operation of Animal Experiment is appropriately performed in the University.
- Drug Control Supervisor: Must ensure compliance with legal and regulatory provisions as well as the University Rules so that the

handling of Narcotics and Psychotropics is appropriately performed in the University.

- Drug Control Supervisor for Animal Facility: Must ensure compliance with legal and regulatory provisions as well as the University Rules so that the handling of Narcotics and Psychotropics used for animal clinical diagnosis purposes is appropriately performed in the University.

13.5 Procedures

The specific response and reporting procedure based on 13.2.5 are following. The other procedures of each particular item in this chapter are defined in each set of relevant University Rules:

a. If incidents, accidents, injuries, or sickness occurs as a result of work, the victim or the witness must immediately report to the victim's supervisor and the Central Control Room (Bosai Center) [link: 10.8.4]. When treatment for injured personnel is necessary, priority should be given to contacting the Health Center or the public emergency services.
b. Depending on the details of the incident, accident, injury or sickness, the Central Control Room (Bosai Center) shall contact the public emergency services, Occupational Health and Safety (Safety and Health Committee [link: https://groups.oist.jp/rs/safety-and-health-committee-minutes] Secretariat), Health Center, and/or other relevant sections as necessary. If a victim is a student, the Central Control Room (Bosai Center) shall also contact the Student Support Section.
c. The Occupational Health and Safety, Health Center, and relevant sections shall immediately share information on the incident, accident, injury, or sickness and take necessary action.
d. The Occupational Health and Safety Leader shall report to the General Safety and Health Manager and the Safety and Health Committee members. For serious incidents, accidents, injuries, or sickness, the Occupational Health and Safety Leader shall also report immediately to the President and to the Dean of Research
    - Details of response procedures shall be in accordance with the "OIST Graduate University Emergency, Safety, and Health Procedures and Guidelines [link: https://groups.oist.jp/sites/default/files/imce/u745/ESH_procedures_and_guidelines_e_Lab1.pdf] and other rules.
    - If the victim or witness is able to identify the section that should respond, then he/she may directly contact that section

without following the procedure above (for example, contacting the Animal Resources Section in the case of an incident or accident during animal experiment).

- It is not necessary to follow the procedure above in the case of minor incidents or accidents. However, a report shall be sent by email or other means to the Occupational Health and Safety at a later date. [link: 13.2.5]
- There is a smart-phone application that may be used to send the emergency report to all relevant staff including university Senior Level Executive [link: 30.2.2].

13.6 Forms

13.6.1 Recombinant DNA Experiment

See Occupational Health and Safety WEB site [link: https://groups.oist.jp/rs/narcotics-and-psychotropics]

13.6.2 Experiment Handling Pathogens and Toxins

See Occupational Health and Safety WEB site [link: https://groups.oist.jp/rs/pathogens-and-toxins]

13.6.3 Common to Recombinant DNA Experiment and Experiment Handling Pathogens and Toxins

See Occupational Health and Safety WEB site [link: https://groups.oist.jp/rs/recombinant-dna]

13.6.4 Animal Experiment

See Animal Resources Section WEB site [link: https://groups.oist.jp/ars]

13.6.5 Human Subjects Research

See Occupational Health and Safety WEB site [link: https://groups.oist.jp/rs/human-subjects-research]

13.6.6 Chemical Material

See Occupational Health and Safety WEB site (chemical material) [link: https://groups.oist.jp/rs/chemical-materials] and Occupational Health and Safety WEB site (narcotics and psychotropics) [link: https://groups.oist.jp/rs/narcotics-and-psychotropics]

13.6.7 Radioisotopes

See Occupational Health and Safety WEB site [link: https://groups.oist.jp/rs/radioisotopes]

13.6.8 Field Work

See Occupational Health and Safety WEB site (Field Work) [link: https://groups.oist.jp/rs/%E9%87%8E%E5%A4%96%E6%B4%BB%E5%8B%95]

13.6.9 Equipment requiring a License or Submission of a Notification (Regulated Equipment)

See Occupational Health and Safety WEB site (Regulated Equipment) [link: https://groups.oist.jp/rs/regulated-equipment]

13.7 Contacts

Policy Owner:

Dean of Research

Vice President for Buildings & Facility Management

13.7.1 Other Contacts:

Section Leader, Occupational Health and Safety
Section Leader, Animal Resources
Section Leader, Imaging
Section Leader, Instrumental Analysis
Section Leader, Mechanical Engineering & Microfabrication Support
Section Leader, Facility Management

Authority: Approved by the President

Chapter 14 Intellectual Property and Technology Transfer

14.1 **Policy**

Although the research and teaching missions of the OIST Graduate University (the University) take precedence over development of intellectual property, the University recognizes that its teaching and research have the potential to generate an array of new ideas, processes, materials, devices and the like, which may be of benefit to the larger world as well as to the University.

Owners of qualifying new or novel ideas, processes, materials, devices, creations, and discoveries may be granted exclusive rights to use and commercialize their intellectual property. Thus, intellectual property has the potential to generate unrestricted income to support the University's research and education. After its faculty, students, staff and other human resources, intellectual property is the University's most important asset.

Consequently, all intellectual property (IP) conceived, created, developed, or first reduced to practice in whole or in part by members of the University's faculty (including student employees) or staff in the course of their University responsibilities, or with more than incidental use of University resources (which may be the case with visiting scholars and others not in the University's employ), belongs to the University unless otherwise provided. All members of the University community are expected to preserve, manage and protect IP in the same manner as they would for any other University asset. Even an invention that may not be patentable for any reason may still be valuable and important - for example, as a trade secret [link: 14.8.9] or as technical "know-how."

It is University policy that royalties and similar remuneration deriving from its IP shall be shared [link: 14.3.7.3] with the inventor/author.

In addition to faculty and staff (including student employees), the provisions of the University's IP policy extends to:

- All graduate students and postdoctoral fellows, and
- Non-employees who participate in research projects at the University (e.g., visiting faculty, industrial personnel, fellows, etc.).

14.2 General Considerations

14.2.1 Confidentiality Obligations.

Nondisclosure and Confidentiality Agreements raise significant concerns. The terms of such an agreement may conflict with the University's Openness in Research Policy [link: 1.3.1]. A contractual commitment to keep information secret can severely restrict the ability of University faculty to pursue research in the manner they choose and can make it impossible for the University to protect ideas and inventions deriving from the work of its faculty and researchers. Once signed, any violation of a nondisclosure or confidentiality agreement can result in an injunction or monetary damages being assessed against the discloser. It is imperative that the General Counsel [link: 2.5] be consulted whenever it appears that the University may be the recipient of information or items that are proprietary, confidential, or otherwise subject to a promise not to disclose. It is forbidden to sign or otherwise bind the University to a confidentiality obligation without first having obtained written approval from the General Counsel.

14.2.2 Intellectual Property

"Intellectual Property" includes, among other things, new or novel devices, processes, compounds, materials, and authored works (such as software) that may be eligible for protection under laws governing patents [link: 14.8.6], copyrights [link: 14.8.2], trademarks [link: 14.8.10], and trade secrets [link: 14.8.9].

14.2.3 More than incidental use of University resources

"More than incidental use of University resources" [link: 14.8.5] refers to more than minimal use of specialized, research-related facilities, equipment, supplies, or staff provided by the University for academic purposes, as well as significant use of "on-the-job" time.

The occasional and infrequent use of the following would typically not constitute "more than incidental use of University resources":

- Routinely available, office-type equipment, including desktop computers and commercially-available software, and
- Reference materials or other resources collected on the University campus, and which are generally available in non-University locations.

14.2.4 **Assignment of Rights**

If the Technology Licensing Section (TLS) cannot, or decides not to, proceed in a timely manner to patent and/or license an invention, TLS may assign ownership to the inventor or inventors upon request to the extent possible under the terms of any agreement with a sponsoring agency that supported or related to the work. In such cases, the inventor may request and be granted rights by the sponsoring agency to an invention made under such an agreement provided that a well-conceived and detailed plan for commercial development accompanies the request.

14.2.5 **Public Domain**

Following consultation with the TLS, the inventor, or inventors acting collectively when there are more than one, may place inventions in the public domain [link: 14.8.7] if that would be in the best interest of technology transfer and if doing so is not in violation of the terms of any agreements that supported or governed the work. The University will not assert IP rights when inventors have thus placed their inventions in the public domain.

14.2.6 **Reports**

Agencies sponsoring research at the University usually require reports of all inventions, whether or not they are considered patentable.

14.3 **Rules**

14.3.1 **Duty to Disclose Potential IP**

All potentially patentable inventions or copyrightable works that were conceived or first reduced to practice in whole or in part by members of the faculty or staff (including student employees) of the University in the course of their University responsibilities, or with more than incidental use of University resources, must be disclosed on a timely basis to the University, through its TLS using the form “Invention Disclosure Form [link: 14.6]”.

14.3.1.1 Graduate students, postdoctoral fellows, visiting researchers and scientist, and other non-employees must disclose to the University all potentially patentable inventions conceived or first reduced to practice in whole or in part in the course of participation in research projects at the University, or with more than incidental use of University resources.

14.3.1.2 Title to such inventions shall be assigned to the University (PCA) [link: 14.6], regardless of the funding source.

14.3.2 **Confidentiality Obligation**
No member of the University may sign an agreement binding the University to a confidentiality obligation without first obtaining written approval to do so from the General Counsel (See 14.2.1 [link: 14.2.1]).

14.3.3 **Royalty Sharing**
The University shall share royalties [link: 14.3.7.3] from inventions assigned to the University with the inventor in accordance with provisions set out elsewhere in this Policy.

14.3.4 **Assignment of Ownership**
(See 14.2.4[link: 14.2.4]).

14.3.5 **Waivers**
Waivers of the provisions of this policy may be granted by the President or the President's designate on a case-by-case basis, giving consideration to, among other things, the University's obligations to sponsors, whether the waiver would be in the best interest of technology transfer, whether the waiver would be in the best interest of the University, and whether the waiver would result in a conflict of interest. In addition, the President may expand upon these provisions and shall adopt rules, based on the same factors as well as appropriateness to the University's relationship with inventors, for the ownership of potentially patentable inventions created or discovered with more than incidental use of University resources by students when not working as employees of the University, by visiting scholars and by others not in the University's employ.

14.3.6 **Rules Regarding Patents**

14.3.6.1 Patent Agreements. All faculty, staff, student employees, graduate students and postdoctoral fellows must sign the OIST Graduate University Patent and Copyright Agreement ("PCA") [link: 14.6] at the time of their assignment. In addition, non-employees who participate or intend to participate in research projects at the University must also sign a PCA.

A variation of this agreement has been created for individuals with prior obligations regarding the disclosure and assignment of

intellectual property. See, “OIST Graduate University Patent & Copyright Agreement for Personnel at OIST Graduate University Who Have a Prior Existing and Conflicting Intellectual Property Agreement with Another Employer (PCA2) [link: 14.6]”. Each hiring division is responsible for getting a PCA, or PCA2, signed at the time of the individual's initial association with the University.

14.3.6.2 Invention Disclosures [link: 14.8.4]. Inventors must prepare and submit on a timely basis an invention disclosure for each potentially patentable invention conceived or first actually reduced to practice in whole or in part in the course of their University responsibilities or with more than incidental use of University resources. An Invention Disclosure Form [link: 14.6] describing the invention and including other related facts should be prepared by the inventor and forwarded to TLS. TLS shall decide whether the invention should be evaluated at the Business Potential Evaluation Committee [link:] in 10 business days.

14.3.6.2.1 Practical Considerations. Individuals covered by this policy are expected to apply reasonable good faith judgment as to whether a new finding may qualify as an invention [link: 14.8.3] to be disclosed to the University for evaluation for potential patentability. The TLS will decide whether to convene the Business Potential Evaluation Committee to evaluate the value of the invention with appropriate professional expertise at the earliest possible date.

14.3.6.2.2 Value of Unpatented Inventions. An invention, although not patentable for any reason, may still be valuable and important - for example, trade secrets and technical “know-how” encompassing proprietary information of a valuable and confidential nature. Agencies sponsoring research at the University usually require reports of all inventions, whether or not they are considered patentable.

14.3.7 **Patent Licensing**

The University encourages the development of inventions and technology resulting from University research by industry for public use and benefit. It recognizes that protection of proprietary rights in the form of a patent or copyright are often necessary - particularly with inventions derived from basic research - to encourage a company to risk the investment of its

personnel and financial resources to develop the invention. In some cases an exclusive license may be necessary to provide an incentive for a company to undertake commercial development and production. Nonexclusive licenses allow several companies to exploit an invention.

Not all inventions are patentable. Questions relating to patentability are often complex and usually require professional assistance. Nonetheless, it can be said that an important criterion of patentability is that an invention must not be obvious to a person with ordinary skill in that particular field. It must also be novel, in the sense that it not have been previously publicly known or used by others or patented or described in a printed publication anywhere.

14.3.7.1 Priorities. The research and teaching missions of the University always take precedence over patent considerations. While the University recognizes the benefits of patent development, it is most important that the direction of University research not be established or unduly influenced by patent considerations or personal financial interests. This priority to research and teaching does not exonerate inventors of their obligation to disclose inventions to TLS.

14.3.7.2 Responsibility for Licensing. The TLS handles the evaluation, marketing, negotiation and licensing of University-owned inventions with commercial potential.

14.3.7.3 Royalty Distribution and Equity Participation. Cash royalties and equity participation shall be handled, in principle, as set forth below.

14.3.7.3.1 Cash Royalties. After deductions for TLS expenses, royalty income is divided one-third to the inventor, one-third to the inventor's laboratory, and one-third to the University. When more than one laboratory is involved, the inventor shall designate the distribution of the one-third allocated for the laboratory based on support of the work. If the inventor's laboratory dissolved, the University shall assign the distribution of the laboratory to the University.

14.3.7.3.1.1 A deduction of 15% to cover the administrative overhead of the TLS is taken from gross

royalty income, followed by a deduction for any directly assignable expenses, typically patent filing fees.

14.3.7.3.1.2 Disagreements involving royalty distribution will be reviewed and resolved by the TLS; involved parties may appeal the TLS resolution to the President.

14.3.7.3.2 Equity Participation. The University may at times accept equity from a corporate licensee as part of the licensing agreement (all other cash payments, including royalties based on sales, will be distributed in accordance with the provisions of 14.3.7.3.1, above.)

14.3.7.4 Loss of Patentability. Inventions that are patentable initially may become non-patentable for a variety of reasons. An invention becomes non-patentable if a formal application is not filed with the Patent Office within a prescribed period of time of disclosure in a publication or of any other action that results in the details of the invention becoming generally available.

14.3.7.5 Filing for International Patent Protection. International patent protection is important for industry to develop its product world-wide. An International Patent application may be executed through the Patent Cooperation Treaty (PCT) route. The PCT procedure has many advantages for the applicant, including giving the applicant up to 18 months to seek protection in foreign countries.

14.3.8 **Rules Regarding Copyright**

Copyright is the ownership and control of the intellectual property in original works of authorship, including software, which are subject to copyright law. It is the policy of the University that all rights in copyright shall remain with the creator unless the work is a “work-for-hire” (the contract for the work stipulates that copyright vests in the University), is supported by a direct allocation of funds through the University for the pursuit of a specific project, is commissioned by the University, makes more than incidental use of University resources or personnel, or is otherwise subject to contractual obligations.

The Copyright Policy of the University is intended to accomplish the following:

- Enable the University to foster the free and creative expression and exchange of ideas and comment;
- Preserve traditional University practices and privileges with respect to the publication of scholarly works;
- Establish principles and procedures for sharing income derived from copyrightable material produced at the University; and
- Protect the University's assets and imprimatur.

All faculty, staff, student employees, graduate students and postdoctoral fellows, as well as non-employees who participate or intend to participate in teaching and/or research or scholarship projects at the University are bound by this policy. They are also required to sign a Patent & Copyright Agreement (PCA or PCA2) [link: 14.6]. The PCA assigns, with certain exceptions, rights to copyrightable works resulting from University projects to the University. However, this policy applies, and those subject to this policy are deemed to assign their rights to copyrightable works, whether or not a PCA is signed and is on file. Royalty income received by the University for such works will normally be distributed in accordance with University policy set forth below. Physical embodiments of copyrightable works may also be subject to the University's Tangible Research Policy [link: 14.3.9].

14.3.8.1 Scope of Copyright Protection. Copyright protection does not extend to any idea, process, concept, discovery or the like, but only to the work in which it may be embodied, illustrated, or explained. For example, a written description of a manufacturing process is copyrightable, but the copyright only prevents unauthorized copying of the description; the process described could be freely copied unless it enjoys some other protection, such as patent. Subject to various exceptions and limitations provided for in the copyright law, the copyright owner has the exclusive right to reproduce the work, prepare derivative works, distribute copies by sale or otherwise, and display or perform the work publicly. Ownership of copyright is distinct from the ownership of any material object in which the work may be embodied. For example, if one purchases a videotape, one does not necessarily obtain the right to make a public showing for profit.

14.3.8.1.1 Books, Article, and Similar Works, including Non-

patentable Software. Except to the extent set forth in this Chapter, the University does not claim ownership to pedagogical, scholarly, or artistic works, regardless of their form of expression. Such works include those of students created in the course of their education, such as dissertations, papers and articles. The University claims no ownership of popular nonfiction, novels, textbooks, poems, musical compositions, non-patentable software, or other works of artistic imagination, which are not institutional works and did not make significant use of University resources or the services of University non-faculty employees working within the scope of their employment.

14.3.8.2 Institutional Works. The University shall retain ownership of works created as institutional works. Institutional works include works that are supported by a specific allocation of University funds or that are created at the direction of the University for a specific University purpose. Institutional works also include works whose authorship cannot be attributed to one or a discrete number of authors but rather result from simultaneous or sequential contributions over time by multiple faculty and students. For example, software tools developed and improved over time by multiple faculty and students where authorship is not appropriately attributed to a single or defined group of authors would constitute an institutional work. However, the mere fact that multiple individuals have contributed to the creation of a work does not, in-and-of itself, compel the conclusion that the work constitutes an institutional work.

14.3.8.3 Works of Non-Employees. Works by non-employees, such as consultants, independent contractors, etc. (“third-party non-employees”) generally are owned by the creator and not by the University, unless there is a written agreement to the contrary. However, as it is University policy that the University obtains ownership of such works, the University will generally require a written agreement from third-party non-employees that ownership of such works will be assigned to the University and the third-party non-employees will agree not to prevent the University from freely using and licensing the copyrighted material. All faculty, staff, student employees, graduate students and postdoctoral fellows, as well as non-employees who participate or intend to participate in

teaching and/or research or scholarship projects at the University are required to contact the General Counsel immediately to execute a proper agreement with any third-party non-employees. Examples of works which the University may retain third-party non-employees to prepare are:

- Contract Research
- Reports by consultants or subcontractors
- Computer software
- Architectural or engineering drawings
- Illustrations or designs
- Artistic works

14.3.8.3.1 As discussed in Chapter 21, Use of University Resources [link: 21], the University's resources are to be used solely for University purposes and not for personal gain or personal commercial advantage, nor for any other non-University purposes. Therefore, if the creator of a copyrightable work makes more than incidental use [link: 14.8.5] of the services of University non-faculty employees or University resources to create the work, he or she shall disclose the work to the TLS and assign title to the University. Questions about what constitutes incidental use should be directed to the Executive Vice President for Technology Development and Innovation .

14.3.8.4 Open Source Software. The University encourages the exploration of open source software solutions in any areas of application for research use. The University provides, for software intended for distribution under an open source license, a general waiver of the policy that the IP rights in software reside with the University and must not be distributed without explicit permission. The University encourages all staff members involved in software development for research purpose to make that software available under Open Source license terms (for example, the GNU General Public License), and to contribute, as appropriate, to existing open source software projects.

14.3.8.5 Videotaping and related Classroom Technology. Courses taught and courseware developed for teaching at the University belongs to the University. Any courses that are videotaped or recorded using any media are property of the University, and may

not be further distributed without permission from the Dean of Graduate School. Blanket permission is provided for evanescent video or other copies for the use of students, or for other University purposes. Prior to videotaping, permission should be obtained from anyone who will appear in the final program as well as from the Vice President for Communications and Public Relations (Chapter 16[link: 16]).

14.3.8.6 Contractual Obligations of the University. This Copyright Policy shall not be interpreted to limit the University's ability to meet its obligations for deliverables under any contract, grant, or other arrangement with third parties, including sponsored research agreements, license agreements and the like. Copyrightable works that are subject to sponsored research agreements, or other contractual obligations of the University, shall be owned by the University, so that the University may satisfy its contractual obligations.

14.3.8.7 Reconveyance of Copyright to Creator. When copyright is assigned to the University because of the provisions of this policy, the creator of the copyrighted material may make a request to the General Counsel that ownership be reassigned to the creator. Such a request can, at the discretion of the General Counsel, be granted if it does not:

(i) violate any legal obligations of or to the University,
(ii) limit appropriate University uses of the materials,
(iii) create a real or potential conflict of interest for the creator, or
(iv) otherwise conflict with University goals or principles.

14.3.8.8 Administration of Policy. Questions of ownership or other matters pertaining to materials covered by this policy shall be resolved by the General Counsel.

14.3.8.9 Licensing and Income Sharing. The TLS seeks the most effective means of technology transfer for public use and benefit and, toward that end, is responsible for the evaluation, marketing, negotiation and licensing of University-owned inventions or copyrightable materials with commercial potential. Computer databases, software and firmware, and other copyrightable works owned by the University, are licensed through TLS. Exceptions to

this procedure must be approved in advance by the Executive Vice President for Technology Development and Innovation.

14.3.8.10 Royalty Distribution. Royalties will normally be allocated in accordance with the University's policy set out in this Chapter under Royalty Distribution & Equity Participation [link: 14.3.7.3]. If copyright protection alone is claimed, royalties normally will be allocated in a similar manner, with the "inventor's share" allocated among individuals identified by the relevant faculty member (or project head if not under a sponsored agreement), based on their relative contributions to the work. Where royalty distribution to individuals would be impracticable or inequitable (for example, when the copyrightable material has been developed as a laboratory project, or where individual royalty distribution could distort academic priorities), the "inventor's share" may be allocated to a research account in the laboratory where the copyrightable material was developed. If the inventor's laboratory dissolved, the University shall assign the distribution of the laboratory to the University. Such determination will be made on a case-by-case basis by the TLS after consultation with the faculty member or the Dean of Research , and is subject to the approval of the Executive Vice President for Technology Development and Innovation.

14.3.8.11 Assignments. No assignment, license or other agreement may be entered into or will be considered valid with respect to copyrighted works owned by the University except by an official specifically authorized to do so.

14.3.8.12 Use of the University Name in Copyright Notices (See Chapter 16 "External and Internal and Public Relations"[link: 16]). No other institutional, department, laboratory, or project name is to be used in the copyright notice, although the name and address of the laboratory or project to which readers can direct inquiries may be listed below the copyright notice. The date in the notice should be the year in which the work is first published, i.e., distributed to the public or any sizable audience. Additionally, works may be registered with the Copyright Office using its official forms. Forms may be obtained from the TLS, to which questions concerning copyright notices and registration also may be addressed.

14.3.8.13 Copying of Works Owned by Others. Members of the University community are cautioned to observe the rights of other copyright owners. Contact the Dean of the Graduate School l's office or the General Counsel concerning policies pertaining to copying for classroom use. Policies regarding copying for library purposes may be obtained from the office of the University Librarian (Chapter 6.3.4[link: 6.3.4]).

14.3.8.14 Sponsored Agreements. Contracts and grants frequently contain complex provisions relating to copyright, rights in data, royalties, publication and various categories of material including proprietary data, computer software, licenses, etc. Questions regarding the specific terms and conditions of individual contracts and grants, or regarding rules, regulations and statutes applicable to the various government agencies, should be addressed to the University's Grants and Research Collaborations (GRC) [link: 2.5].

14.3.9 **Rules Regarding Tangible Research Property (TRP)**

The following is directed toward the administration and distribution of Tangible Research Property (TRP) [link: 14.8.8], which is owned and/or controlled by the University. TRP may be subject to the University's contractual obligations and these rules are to be interpreted and applied consistent with and complementary to other policies affecting the administration of tangible properties.

14.3.9.1 Ownership of TRP. TRP normally is either owned by the University or is subject to the ownership and other provisions of contracts and grants. For example, items such as microorganisms produced under a government grant or contract usually belong to the University as expendable property, subject to the terms and conditions of the grant or contract. Equipment fabricated at the University for subsequent off-campus use by a research sponsor (e.g., an instrument fabricated at the University under contract with the sponsor) is usually owned exclusively by the sponsor.

14.3.9.2 Control of TRP. It is the responsibility of the faculty member (or laboratory director or project head, if the TRP is not developed as part of a Gransts and Research Collaborations project) to control the development, storage, use, and distribution of TRP made in the course of research activity, subject to provisions of applicable grants or contracts and University policy. Such control includes

determining if and when distribution of the TRP is to be made beyond the laboratory for scientific use by others.

14.3.9.3 Freedom of Access. The University's Openness in Research Policy [link: 1.3.1], states: "... the principle of openness in research - the principle of freedom of access by all interested persons to the underlying data, to the processes, and to the final results of research - is one of overriding importance." Consistent with this principle, it is the University's policy to promote the prompt and open exchange of TRP and associated research data with scientific colleagues outside the investigator's immediate laboratory.

14.3.9.4 Commercial Considerations. Because TRP may have potential commercial value as well as scientific value, the investigator may wish to make TRP broadly available for scientific use by others by means that do not diminish its value or inhibit its commercial development or public use. Although valid non-commercial reasons may exist for the temporary delay of TRP distribution outside the laboratory for scientific use by others (e.g., safety factors or the need to more fully characterize the TRP prior to distribution, etc.) scientific exchanges should not be inhibited due to potential commercial considerations.

> 14.3.9.4.1 Income from TRP. TRP may not be sold for profit, although licensing agreements, which include provision for royalty income may be negotiated through the TLS for commercial use of the intangible property rights associated with the TRP. When distributing TRP to research colleagues outside the laboratory, costs of the raw materials and handling may be recovered from the recipient, with the income returned to the account, which funded those costs.
>
> 14.3.9.4.2 Contractual Obligations. If any of the initial costs were funded from sponsored agreements, the SRS should be asked to advise on the contractual obligations regarding distribution of the TRP and disposition of the recovered costs. If any costs are charged for TRP distribution, adequate documentation must be maintained for audit purposes.

14.3.9.5 TRP Procedures. The following procedures for identification and distribution of TRP are designed to aid the traditional open

distribution and exchange of TRP for research purposes, preserve the potential commercial value of TRP, assist the further development of TRP for public use, and protect the University and its employees from liability claims arising from the use of University TRP by others.

14.3.9.5.1 Identification System. When public or commercial values were identified by the above evaluation, each item of TRP must have an unambiguous identification code and name sufficient to distinguish it from other similar items developed at the University or elsewhere. The TLS should be consulted for assistance in developing appropriate identification systems and for information regarding use of existing University systems.

14.3.9.5.2 Ownership of Marks. Where applicable (e. g., computer software), each item should also carry the name of the TRP owner and such other marks and legends as may be required to meet the University's contractual obligations and administrative needs, including notice of copyright, trademark, government rights, etc. Information regarding identification, marks, and legends required under research contracts and grants can be obtained from the SRS or TLS.

14.3.9.6 Distribution of TRP for Research Purposes. Each distribution for non-commercial research purposes should be accompanied by a letter of transmittal which includes the following, or equivalent, wording:

"For OIST Graduate University records, please indicate your agreement (1) to accept S- (insert Biological Registry No.) to be used only for non-clinical research by you in your research laboratory, and (2) to not distribute S- to any other individual or entity, by signing and returning a copy of this letter to me."

14.3.9.6.1 CAUTION: If there is a possibility of biohazard or other risk associated with the transport, storage or use of a particular TRP, or if the recipient is likely to use the TRP for clinical research, the Research Safety Section should be consulted regarding appropriate precautionary language in the TRP distribution agreement. Alternatively, SRS can

provide standard TRP distribution forms or Material Transfer Agreement [link:], which contain appropriate precautionary language. (Note: For information about regulations regarding transfer of infectious agents or recombinant DNA material, contact the Research Safety Section (research_safety@oist.jp[link:]).)

14.3.9.7 TRP Software Distribution. Distribution, for research purposes only, of computer software owned by the University may be made without restrictions if control of subsequent use by the faculty member is not desired. For example, a faculty member may wish recipients to follow a specific research protocol. Any such distribution is subject to the applicable contract or grant provisions and an agreement by the recipient that commercial development of the software is not to be undertaken.

14.3.9.7.1 TRP Distribution Agreement. If software owned by the University has commercial value or if it is considered desirable to control subsequent use, distribution for research purposes must be coordinated with TLS and must be accompanied by an appropriate agreement with the recipient. TLS will arrange for trademark and copyright registration as needed. TLS will also provide wording for the distribution agreement as necessary to preserve commercial value and provide coordination with existing or prospective commercial licensing activities.

14.3.9.7.2 TRP Contractual Obligations. When software results from Gransts and Research Collaborations, SRS should be consulted regarding contractual obligations and regulations affecting ownership, disposition of various rights, and restrictions on the distribution and use of TRP and any associated income with TLS support.

14.3.9.8 Other Forms of TRP. Distribution of TRP other than biological products should normally follow the procedures outlined above for the example of computer software.

14.3.9.9 Distribution of TRP for Commercial Purposes. If TRP developed by the University as a result of research activities is to be distributed to outside users for commercial purposes, the

distribution agreement *must contain provisions negotiated by TLS* covering the terms under which the property may be used, limits on the University's liability for the property or products derived therefrom, and disposition of any royalty income to the University from the licensing of intangible property rights associated with the use of the tangible property.

14.3.9.10 Income Distribution. Distribution of any TRP-related royalty income other than patent royalties will be similar to the patent royalty income distribution policy [link: 14.3.7.3] except that the "inventor's share" will normally be distributed to a research account in the laboratory which produced the TRP (subject to any contractual obligations regarding distribution of income). Questions regarding distribution of any royalty income to individuals should be referred to TLS. Any distribution to individuals is subject to prior approval of the Executive Vice President for Technology Development and Innovation.

14.3.9.11 Contractual Obligations. If the TRP results from Gransts and Research Collaborations, the SRS [link: 2.5] should be consulted regarding contractual obligations and regulations affecting ownership, notices, acknowledgments, disposition of various rights, and restrictions on the distribution and use of the TRP and any associated income.

14.3.10 **Other Intellectual Property**

14.3.10.1 Trade and Service Marks. Trade and service marks (collectively, "marks") are distinctive words or graphic symbols identifying the sources, product, producer, or distributor of goods or services. Trade or service marks relating to goods or services distributed by the University are owned by the University; see Chapter 15 [link: 15]. Examples include names and symbols used in conjunction with computer programs or University activities and events. Consult the TLS for information about registration and protection of marks. Consult the Office of Communication & Public Relations for information concerning the use of University marks.

14.3.10.2 Proprietary Information and Trade Secrets. Proprietary information arising out of University work (e.g., actual and proposed terms of research agreements, financial arrangements, or

confidential business information) shall be owned by the University. "Trade secret" is a legal term referring to any information, whether or not copyrightable or patentable, which is not generally known or accessible, and which gives competitive advantage to its owner. Trade secrets are proprietary information.

14.3.10.2.1 Any request that a University employee sign a Nondisclosure or Confidentiality Agreement must be referred to the General Counsel to ensure, among other things, that all research involving proprietary information owned by others is subject to the University's Openness in Research Policy [link: 1.3.1].

14.4 **Responsibilities**

14.4.1 **The Grants and Research Collaborations**

The Grants and Research Collaborations [link: 2.5] reviews terms and conditions of the University's grants and academic contracts for compliance with University policies on intellectual property rights and openness in research with TLS support.

14.4.2 **The Technology Licensing Section**

The Technology Licensing Section [link: 2.5] promotes the transfer of the University's technology and intellectual property for society's use and benefit while generating unrestricted income to support research and education. TLS is responsible for the administration of the University's invention reporting and licensing program, the commercial evaluation of inventions, patent-filing decisions, petitions to agencies for greater rights in inventions, and negotiation of industrial agreements.

14.4.3 **The Dean of Research and the Executive Vice President for Technology Development and Innovation**

The Dean of Research and the Executive Vice President for Technology Development and Innovation respond to questions of ownership or similar matters (through consultation with the SRS and the TLS); the Dean of Research must inform faculty members of their responsibilities under this Policy;

14.4.4 **Dean of Research**

The Dean of Research must inform faculty members of their responsibilities under this Policy.

14.4.5 **All employees**

All employees must know and comply with the requirements of this Chapter.

14.4.6 **All supervisors and managers**

All supervisors and managers must inform their subordinates of the requirements of this Chapter.

14.5 **Procedures**

14.5.1 **Faculty Grievance procedure**

(Chapter 3.8[link: 3.8, Faculty Handbook])

14.5.2 **Questions**

contact the Dean of Research and Executive Vice President for Technology Development and Innovation

14.6 **Forms**

- OIST Graduate University Patent and Copyright Agreement (PCA)
- Prior Existing and Conflicting Intellectual Property Agreement with Another Employer (PCA2)"
- Invention Disclosure Form
- Standard TRP distribution forms

14.7 **Contacts**

14.7.1 **Policy Owner**

Executive Vice President for Technology Development and Innovation

14.7.2 **Other Contacts:**

Grants and Research Collaborations
Technology Licensing Section

14.8 **Definitions**

14.8.1 **Confidentiality Obligation (also known as Nondisclosure Agreement, Confidentiality Agreement)**

A confidentiality obligation is any legal undertaking whereby one party agrees to keep information disclosed by another party secret. The obligation to keep disclosed information secret is typically accompanied by an obligation to protect the disclosed information at least as stringently as

the recipient protects its own confidential information and an obligation not to use the disclosed information for any purpose other than as permitted by the agreement signed by the recipient of the information. This obligation is typically embodied in a written Confidentiality Agreement (CA) or Nondisclosure Agreement (NDA). The obligation to maintain information in confidence can take many forms and such obligations are often found in license agreements and other legal contracts.

14.8.2 **Copyrightable Works**

Under the copyright law, copyright subsists in "original works of authorship" that have been fixed in any tangible medium of expression from which they can be perceived, reproduced, or otherwise communicated, either directly or with the aid of a machine or device. These works typically include the full array of literary, artistic, and musical works, pictorial and other graphic works, dramatic works, motion pictures and other audiovisual works, and sound recordings. Copyright protection is also available for software and integrated circuit masks.

> Except as set out otherwise in this policy (for example, with regard to software and integrated circuit masks), the University does not claim ownership of pedagogical, scholarly, or artistic works, regardless of their form of expression. Such works include those of students created in the course of their education, such as dissertations, papers and articles. The University claims no ownership of popular nonfiction, novels, textbooks, poems, musical compositions, non-patentable software, or other works of artistic imagination, which are not institutional works and which did not make more than incidental use of University resources or the services of University non-faculty employees working within the scope of their employment.

14.8.3 **Invention**

An invention is a novel and useful idea relating to processes, machines, manufactures, and compositions of matter. It may cover such things as new or improved devices, systems, circuits, chemical compounds, mixtures, etc. It is probable that an invention has been made when something new and useful has been conceived or developed, or when unusual, unexpected, or nonobvious results have been obtained and can be exploited. An invention can be made solely or jointly with others as co-inventors. To be recognized legally, a co-inventor must have conceived of an essential element of an invention or contributed substantially to the general concept.

14.8.4 **Invention Disclosure**

An invention disclosure is a document that provides information about inventor(s), what was invented, circumstances leading to the invention, and facts concerning subsequent activities. It provides the basis for a determination of patentability and the technical information for drafting a patent application. An invention disclosure is also used to report technology that may not be patented but is protected by other means such as copyright or trade secret.

14.8.5 **More than Incidental Use**

For purposes of this Chapter, the phrase "more than incidental use of University resources" means use *for more than a minimal amount of time* of specialized, research-related facilities, equipment or supplies, provided by the University for academic purposes, and use of more than a minimal amount of "on-the-job" time. The occasional and infrequent use of the following would typically not constitute "more than incidental use of University resources":

- Routinely available, office-type equipment, including desktop computers and commercially-available software, and
- Reference materials or other resources collected on the University campus, and which are generally available in non-University locations.

14.8.6 **Patent**

A patent is a grant issued by a national government office (usually called the Patent Office) giving an inventor the right to exclude all others from making, using, or selling the invention within the territory of the country, its territories and possessions for a period of 20 years. When a patent application is filed, the Patent Office reviews it to ascertain if the invention is new, useful, and nonobvious and, if appropriate, grants a patent - usually two to five years later. Not all patents are necessarily valuable or able to withstand a challenge after being issued.

14.8.7 **Public Domain**

Public domain ownership means that society, as a whole, owns the item and anyone can make free use of it for any purpose desired. Authorship doesn't have to be noted. A particular item enters the public domain when the author or creator relinquishes her/his rights to the item or when a predefined length of time has passed.

14.8.8 **Tangible Research Property (TRP)**

TRP is defined for purposes of this Chapter as tangible (or corporeal) items produced in the course of research projects supported by the University or by external sponsors. TRP includes such items as: biological materials, engineering drawings, computer software, integrated circuit chips, computer databases, prototype devices, circuit diagrams, equipment. TRP is separate and distinct from intangible (or intellectual) property such as inventions, patents, copyright and trademarks which are subject to other policies and guidelines set forth above. Individual items of TRP may be associated with one or more intangible properties such as copyright or patents.

14.8.9 **Trade secret**

"Trade secret" is a legal term referring to any information, whether or not copyrightable or patentable, which is not generally known or accessible, and which gives competitive advantage to its owner. Trade secrets are proprietary information.

14.8.10 **Trademark**

Trade and service marks are distinctive words or graphic symbols identifying the sources, product, producer, or distributor of goods or services. A service mark is the same as a trademark, except that it identifies and distinguishes the source of a service.

14.8.11 **work-for-hire**

"work-for-hire" is a legal term defined generally as "a work prepared by an employee within the scope of his or her employment." This definition includes works prepared by employees in satisfaction of sponsored agreements between the University and outside agencies. Certain commissioned works also are works for hire if the parties so agree in writing. The employer (i.e., the University) by law is the "author," and hence the owner, of works for hire for copyright purposes. Works for hire subject to this principle include works that are developed, in whole or in part, by University employees. For example, significant use of staff or student employee programmers or University film production personnel will typically result in University ownership of the copyright in the resulting work. Where a work is jointly developed by University faculty or staff or student employees and a third-party non-employee, the copyright in the resulting work typically will be jointly owned by the University and the third party. In such instances, an agreement must be executed to explicitly define

the rights of both the University and the other party. If a copyright jointly shared by the third party is expected, immediate consultation with the General Counsel is required. Whether the University claims ownership of a work will be determined in accordance with the provisions of this policy, and not solely based upon whether the work constitutes a work-for-hire under the copyright law. For example, copyright in pedagogical, scholarly or artistic works to which the University disclaims ownership under this policy shall be held by the creators regardless of whether the work constitutes a work-for-hire under copyright law. University ownership in a work-for-hire may be relinquished only by an official of the University authorized to do so by the Board of Governors.

14.9 **Appendices**

(There are no appendices associated with this Chapter.)

Authority: Approved by the President

Chapter 15. Name Use, Endorsements, and Use of University Logo and Trademarks

15.1 Policy

The Okinawa Institute of Science & Technology Graduate University (University) is internationally known for excellence in education, research, and scientific and technological innovation. The University name (and abbreviated names) and its associated marks, trademarks, logos, and symbols, and like identifying images (collectively, the "names and marks") are internationally recognized and represent the high caliber of our faculty, students, and staff. The names and marks convey the quality, breadth, and depth of the University's accomplishments. This Policy is intended to protect the unique identification and reputation of the University.

The University is the owner of its names and marks, which are among its most valuable assets. Faculty, students and staff share in the benefits associated with the University's name and marks, and therefore also share responsibilities concerning their use.

Detailed information and instructions concerning the University's Trademark Use Policy, and its Trademark Licensing Program, can be obtained from the Technology Transfer Section [link: 2.5]. See also Chapter 14, Intellectual Property and Technology Transfer [link: Chapter 14].

15.2 General Considerations

15.3 Rules

Names and marks of the University may not be used in a manner that implies endorsement of, or affiliation with, events, activities, programs, products or services of any entity not directly associated with, or licensed in writing by, the University.

15.3.1 Use of Names and Marks Restricted to Official University Business

Attaching or using the University's names and marks in connection with any event, activity, publication, product or service is permitted ONLY if the event, activity, publication, product or service is one for which the University has formally accepted institutional responsibility.

15.3.1.1 Use by University Personnel

Faculty and staff may use the University names and marks ONLY for official University business. Faculty, faculty emeriti, and staff members using the University name and marks in connection with activities conducted outside of the scope of their employment must use their exact title and must not imply that the University endorses the product or activity.

> 15.3.1.1.1 Personal letters may not be written on stationery bearing the University names and marks, especially in matters that may involve controversy, endorsements, or solicitations for non-University purposes.

15.3.1.2 Use by Students

Students may identify themselves on business cards as students of the University, provided that it is clear that they are students and not employed by or representing the University in an official capacity(Chapter 5[link: 5]).

Students employed by the University may also include their job title and contact information.

Students must use a University-approved vendor to obtain business cards, to assure conformance with University style and format requirements. Cards made using a personal computer must also conform to University style and format; examples are available from the Division of Communication and Public Relations.

15.3.1.3 Use by Student Organizations

If given permission by the Vice President for Communication and Public Relations and the Dean of the Graduate School, approved student organizations may be permitted to use the University's names and marks. Proposed uses of the University names and marks must be submitted to the Vice President for Communication and Public Relations for review and approval in advance.

Only student organizations that are both University-registered and University-sponsored may submit proposals to use the University name and marks.

15.3.1.3.1 Voluntary student organizations (those registered with, but not sponsored by, the University) may refer to themselves as the "OIST Graduate University _(insert name)_____," but they may not use any other University names and marks. Proposed graphics related to use of the term "OIST Graduate University" by voluntary student organizations must be submitted to the Vice President for Communication and Public Relations for approval (Chapter 16.3.1 [link: 16.3.1]) .

15.3.1.3.2 Student organizations and entities that are not registered with the University are prohibited from any name association with the University.

15.3.1.3.3 No student organization may use the registered University Seal [link: 2.7] under any circumstances nor shall they create or use any seal bearing University names and marks.

15.3.1.4 Use By Other Voluntary University-Affiliated Organizations

Voluntary groups comprised of University students, employees, families and friends that are registered with the University may refer to themselves as the "OIST Graduate University [name of group]" but they may not use any other University names and marks. Proposed graphics related to use of the term "OIST Graduate University" by such voluntary groups must be submitted to the Vice President for Communication and Public Relations for approval (Chapter 16.3.1 [link: 16.3.1]).

15.3.2 **Tax Considerations**

There is potential for generating revenue by licensing University names and marks; this may also give rise to tax consequences. All proposed "business plans" involving use of University names and marks must be reviewed and coordinated with the Vice President for Financial Management [link: 2.4.5] and the Technology Licensing Section [link: Chapter 14] prior to detailed development or implementation of such plans.

15.3.3 **Use in Fundraising**

Without exception, all fundraising activities[link: 7]*, whether or not names and marks are used, must be pursued through and coordinated with the Office of the President*. Additionally, permission to use the University's names and marks in fundraising requires approval by the

Vice President for Communication and Public Relations in order to ensure, among other things, conformance with University style and format conventions [link: 16.3.1].

15.3.4 **Use in Partnerships and Affiliations**

A partnership or affiliation that requires the use of the University's names and marks as a condition of the relationship (for example, research contracts/grants and procurement contracts/agreements), may be construed as an endorsement or be otherwise problematic. Such agreements must be reviewed by the Vice President for Financial Management [link: 2.4.5] and by the Vice President for Communication and Public Relations [link: 2.4.5] prior to execution.

15.3.4.1 This is to be distinguished from use of the University's names and marks for outside academic and research-related events in which the University is a participant, affiliate, or sponsor. Such use is a normal adjunct to the University's academic and research endeavors and is ordinarily appropriate so long as the University's graphic and stylistic standards are met (Chapter 16.3.1 [link: 16.3.1]).

15.3.5 **Use in Political Campaigns**

It is forbidden to use, directly or indirectly, any name and mark of the University in political campaigns. Questions should be directed to the office of theDean of the Faculty Affairs] (for academic staff) or the office of the President [link: 2.4.1] (administrative staff).

15.3.6 **Use in Endorsements**

University faculty and staff are not permitted to give endorsements (a positive evaluative statement about a product or service) on behalf of the University. Statements made by University personnel in their official capacity may not in any way imply University preference for or endorsement of a particular firm, organization, product, or service.

15.3.6.1 The Vice President for Communication and Public Relations may grant permission to use the name of the University, but not its marks, in a statement of fact concerning a vendor relationship and/or work performed. Examples:

"OIST Graduate University has contracted with X Company for vehicle fleet maintenance."

or

"X has been awarded a contract for computer peripherals by OIST Graduate University."

Such statements may not in any way imply University preference for or endorsement of a particular firm, organization, product, or service.

Example of what may not be stated:

> "OIST Graduate University has contracted with X Company for vehicle fleet maintenance because X has the best mechanics in Okinawa."

15.3.6.2 Personal endorsements in University publications (print or electronic) may be permissible, as long as the author makes it clear that such statements are personal and not the position of the University or any of its units, and as long as no personal gain is realized from the endorsement.

15.3.6.3 Objective factual valuations of products or services (not an endorsement) must be accompanied by the following disclaimer:

> "The OIST Graduate University does not sponsor or endorse the products or services described."

15.3.7 **Use in Marketing, Movies, TV, Press Releases, etc.**

When University names and marks, or images of the University, are used in association with television or radio programs, videos, movies, events, projects, magazine shoots, and similar activities, official University involvement is likely to be inferred. Requests to use photographs or other images of the University, or any of its names and marks, in advertisements or marketing materials, or in press releases, movies or television programs, must be immediately directed to the Vice President for Communication and Public Relations (Chapter 16 [link: 16]).

15.3.8 **Reporting Suspected Misuse or Infringement**

Refer to Chapter 23, Misconduct & Whistleblower Protection [link: 23], for guidance on reporting suspected misuse, infringement, or other similar misconduct with regard to name use, endorsements, or use of logo and trademarks.

15.4 Responsibilities

15.4.1 All University Personnel

15.4.2 Managers and Supervisors

15.4.3 Vice President for Communication and Public Relations

15.4.4 Technology Transfer Section

15.4.5 Vice President for Financial Management

15.5 Procedures

15.6 Forms

15.7 Contacts

15.7.1 Policy Owner:
Vice President for Communication and Public Relations

15.7.2 Other Contacts:
vpcpr@oist.jp

15.8 Definitions

15.8.1 **Endorsement:**
A positive evaluative statement about a product or service

15.8.2 **Names and Marks:**
The University name (and abbreviated names) and its associated marks, trademarks, logos, and symbols, and like identifying images, including those that are confusingly similar to any of the above.

Authority: Approved by the President

Chapter 16. External and Internal Communications & Public Relations

16.1 Policy

As a publicly funded university, OIST Graduate University (University) has a responsibility to provide timely, accurate, clear, objective, and complete information about its projects, plans, and activities. In the modern era when news, good and bad, true or false, can be relayed around the globe almost instantly, it is important to have guidelines for faculty, students and staff who deliver University-related information to the media and the general public. The University's Division of Communication & Public Relations (the Communications Division) offers support to ensure that key messages are clear and consistent and information is accurate and complete. The Communication Division does not intend to police communications or to restrict anyone from sharing their expertise.

16.1.1 The Communication Division is responsible for overseeing and approving use of the University's names and marks (as defined in Chapter 15)., trademarks, logos, and other symbols (together referred to as "names and marks") and for ensuring stylistic and graphic conformance to the University's standards with regard to use of the University's names and marks [link: 15].

16.2 General Considerations

16.2.1 The Vice President for Communication & Public Relations, as a matter of policy, is the spokesperson for the University unless otherwise instructed by the President.

16.2.1.1 The Communication Division is the approver of all uses of the University's names and marks.

16.2.1.2 Regulatory and other governmental communications are handled by the Chief Operating Officer (hereinafter referred to as "COO") [link: 2.4.6.2], and not the Communication Division.

16.2.2 The Communication Division manages the calendaring, space reservation, and logistics of events and activities at the University; for details see Chapter 19, University Events [link: 19].

16.2.3 The Communication and Public Relations Division provides digital copies of university corporate publications to the Library when the Vice President for Communication and Public Relations decides that they are suitable to be deposited in Okinawa Institute of Science and Technology Graduate University Institutional Repository ("OISTIR") for open access. For details, see 6.2.2[link: 6.2.2], The Okinawa Institute of Science and Technology Graduate University Institutional Repository.

16.3 Rules

16.3.1 Use of the University Names and Marks

Names and marks of the University [link: 15] must be depicted in conformance with the University's stylistic and graphic standards [link: http://iweb.oist.jp/dnnoist/OISTLogo/tabid/453/Default.aspx].
All proposed uses of names and marks, whether internal or external, must be submitted to the Communication Division for approval.

16.3.2 Internal Communications

Excellent internal communication is essential for the efficiency and morale of the University and communication initiatives are encouraged. To maintain consistency, initiatives should be developed in collaboration with the Communication Division. This includes websites, posters, printed materials, etc.

16.3.2.1 All internal communication platforms (websites, bulletin boards, printed communications, etc.) must adhere to the University's graphic standards [link: http://iweb.oist.jp/dnnoist/OISTLogo/tabid/453/Default.aspx].

16.3.2.1.1 Excepted from this requirement are working collaborative sub-sites, such as experimental data bases, devoted to active development of areas of research.

16.3.3 Contacts with Media

All individuals must contact the Communication Division immediately whenever they receive a request from the media that relates to the University or their affiliation with the University.

16.3.3.1 With regard to subjects (and developments) that relate to their affiliation with the University, faculty, students and staff should inform and consult with the Communication Division before initiating contact with the media.

16.3.3.2 In the event of unpremeditated spontaneous media contact (e.g., at a conference, meeting, or similar event), the individual who was involved in the media contact should inform the Communications Division of the exchange as soon as possible.

16.3.4 Websites

All University websites must conform to the graphic standards of the University and be approved by the Communications Division. They must also conform to the requirements established for use of University IT [link: 17].

16.3.4.1 Researchers may host separate personal sites on a University webserver that do not necessarily conform to the style and graphics standards, but the Communication Division will not provide support. Content of personal webpages hosted on University servers must observe the principles set out in the University's Code of Conduct and other core values [link: 1].

16.3.5 Social Media

The University recognizes blogs, networking sites, and other social media as possible tools to support the University's educational and operational goals. Individuals are responsible for the content they publish on social media and should use good judgment. Staff should be mindful that the things they say or do on social media are publically available and searchable and may be forever accessible. Comments, expressions, and other postings on social media must be non-libelous, honest and respectful of others. They must respect confidential, personal, and proprietary information; comply with applicable law; comply with University requirements concerning use of IT [link: 17]; and adhere to the Code of Conduct and core values of the University [link: 1].

16.3.6 Use of the University Names and Marks by Third Parties

Requests for use of University names and marks, and requests for endorsements by the University from external individuals, companies, organizations, educational establishments, etc., must be referred to the Communication Division (Chapter 15)[link: 15]. The Communication Division has the right of final approval of all texts and images including photos concerning the University proposed by third parties.

16.3.7 OIST clubs

OIST clubs can cover a wide range of interests including sports, arts and crafts, culture, technical and scientific activities.

16.3.7.1 Clubs Role

OIST clubs promote communication within OIST bringing together people of very different professions and cultural backgrounds.
In addition OIST clubs help integrate newcomers and their families both with the local population and with the OIST community.

16.3.7.2 Membership of OIST Clubs

Clubs are open to all OIST staff, students and members of the local community. The President of a club must be an OIST employee or student.

16.3.7.3 OIST Support of Clubs

OIST clubs should be self-financing through membership fees and fund raising activities. However in exceptional circumstances a club can ask for financial support from the OIST administration. Such circumstances could be expenses for the setting up of a club and buying essential equipment.

16.3.7.4 OIST Clubs Steering Group

The group decides on the suitability and financial viability of proposed clubs and give recommendations to the OIST Executive on possible funding. The group is composed of a representative from the Administration, the Graduate School and the Research sector. The Chair is the VP for Communications.

16.3.7.5 Creating a Club

Application to set up an OIST club should be presented to the OIST Club Steering Group. The application should explain the purpose of the club, equipment and location needs, a financial model, safety and insurance aspects, the name of the President

16.3.7.6 Logo Use

Use of OIST logo on clubs material or sporting kit must adhere to the University Graphics Standard Manual.

16.3.7.7 Club Restrictions

OIST does not support political or religious clubs. Clubs must adhere to university policies, rules and procedures.

16.3.7.8 Club Web Site

A web site is mandatory for each club explaining the activities, the club officials and a sign up form. The sites are hosted on the OIST groups server.

16.3.7.8.9 OIST Facilities

OIST clubs can use university facilities, such as meeting rooms, free of charge. However priority will always be given to academic use.

16.4 Responsibilities

16.4.1 Managers and faculty

Managers and faculty are to inform their personnel about the procedures relating to Media contacts, logo usage and endorsement requests.

16.4.2 All individuals

All individuals must respect the guidelines established in the OIST Graduate University Graphics Standards Manual [link: http://iweb.oist.jp/dnnoist/OISTLogo/tabid/453/Default.aspx].

16.4.3 All students, faculty, and staff

All students, faculty, and staff must comply with the requirements of this Chapter.

16.5 Procedures

16.5.1 How to submit proposed depictions of names and marks

email: vpcpr@oist.jp

16.5.2 How to develop Internal communication initiatives in collaboration with the Communication Division.

email: vpcpr@oist.jp

16.5.3 What to do when contacted by the Media.

email: vpcpr@oist.jp

16.5.4 What to do before contacting media.

email: vpcpr@oist.jp
(Chapter 16.3.3**[link: 16.3.3]**)

16.5.5 How to request logo or name use or endorsement by outside entities.

email: vpcpr@oist.jp

16.6 Forms

There are no forms associated with this chapter.

16.7 Contacts

16.7.1 Policy Owner:

The Vice President for Communication and Public Relations

16.7.2 Other Contacts:

vpcpr@oist.jp

16.8 Definitions

16.8.1 *Media*

Any means of communication having wide dissemination or influence, such as radio and television, internet, newspapers, and magazines.

16.8.2 *Public Relations*

The professional development of a favorable public image by the OIST Graduate University.

16.8.3 *Social media*

Online, electronic, or Internet media, tools, communities, and spaces for social interaction, sharing user generated content, or public or semi-public communication. Social media typically uses web-based technologies to turn communication into interactive dialogues. Social media can take many different forms, including internet forums, blogs & microblogs, online profiles, wikis, podcasts, pictures and video, email, text, instant messaging. Examples of social media include but are not limited to the following: LinkedIn, Facebook, MySpace, Wikipedia, YouTube, Twitter, Skype and blogs.

Authority: Approved by the President

Chapter 17. Information Technology and Security

17.1 **Policy**

This policy is in place to ensure that OIST Information Technology Resources (IT resources) [link: 17.8.1] are provisioned and used in an effective, efficient, prudent and responsible manner [link: 21.3.2], in line with the missions of the University and in compliance with relevant legal and contractual obligations. All users are expected to be familiar with these policies, rules and procedures and consequences of violation.

All University information is deemed to comprise University information assets [link: 17.8.2]. The University owns and controls its information assets. Appropriate handling of information assets is vital to the protection of OIST and its community, all users are responsible in this regard.

Though the University takes reasonable security measures to protect the security of its IT resources, the University does not guarantee absolute security nor privacy. The University has the right to monitor any and all IT Resources and their usage, including e-mail, without limitation. The University is responsible for taking any measures necessary to ensure the security and integrity of its IT Resources. When it becomes aware of violations of policy or law, either through routine system administration activities or via incident notification, it is the responsibility of the University to investigate as needed or directed, and take action to protect its resources and/or to provide information relevant to an investigation.

OIST has an obligation to preserve Information Assets for archival and reporting purposes. Additionally, upon direction from the President or General Counsel and upon consent of Chief Information Officer (CIO) [link: 2.4.1.3, 17.4.5] and Chief Information Security Manager (CISM) [link: 17.4.6], Information Assets may sometimes be preserved for prescribed periods of time for litigation or other legal purposes.

IT Resources are not to be used for personal or private purposes unrelated to the mission of the University. However, incidental personal use is permitted so long as such use does not interfere or conflict with the employee's work responsibilities or other obligations to the University, and does not generate additional direct cost to the University. Users are responsible for the content of their personal communications. The University accepts no responsibility or liability for unauthorized use of its IT resources in a manner which does not comply with policy or law.

17.2 **General Considerations**

17.2.1 **Scope**

These policies, rules and procedures are applicable to all users [link: 17.8.11]. In particular, all users are subject to the requirements as set out under "User's Rights and Responsibilities" [link: 17.4.2] and the "OIST Graduate University IT Acceptable Use Policy" [link: 17.6.1].

In accessing, storing or transmitting University Information all IT Assets become subject to these policies [link: 17.8.3]. This includes personal devices, devices wholly or partially owned by the University, and devices from external organizations or entities.

17.2.2 **Ownership of Information Assets**

The University owns and controls its information assets [link: 17.8.2]. The University assigns responsibility for managing and protecting its Information Assets, and ensuring compliance with policy and law, to Information Asset Managers [link: 17.4.8] and Information Asset Administrators [link: 17.4.9].

Within research units the Faculty [link: 17.4.3] serves as Information Asset Manager, and may assign the Information Asset Administrator role to a unit member. Ensuring appropriate management and security schemes for unpublished research data is the prerogative of the faculty, whom must also take into account any pre-existing official agreements that would require additional security or protection of information assets. Note that a primary copy of all research data should remain on OIST managed repositories at all times.

Within Divisions the Vice-President [link: 17.4.4] services as Information Asset Manager, and may assign the Information Asset Administrator role to one or more Section members.

Corporate Documents and Personal Information are a sub-set of Information Assets, but have additional legal and policy requirements, such as "Public Document Policy Act" and "Law concerning Access to Personal Information Held by Independent Administrative Institutions", associated with their handling. These requirements as well as separate management and administration roles are detailed here [link: 12].

Intellectual property, institutional agreements, or other contractual requirements upon the University may modify the ownership and treatment of information assets, these are covered under PRP Chapter 4 [link: 4] and Chapter 14[link: 14].

17.2.3 **Principles of Information Technology Management**

Wherever possible University IT resources are to be provisioned in alignment with industry best practice. To this end the ITSM framework is employed to provide a structure in which to describe and specify IT services [link: 17.8.5].
Core to the ITSM framework is the concept of a Service Level Agreement (SLA) [link: 17.8.6], which acts to provide clear expectations in the scope, timeliness and quality of IT services between IT Division and the University. This SLA must be drafted in conjunction with stake holders from all areas of the University. This SLA must be deliberated upon and approved by stake holders from all areas of the University, via the IT Service and Support Committee.

17.2.4 **Principles of Information Security**

The purpose of information security [link: 17.8.7] is to protect Information Assets from unauthorized access or damage, and ensure accordance with all applicable laws, regulations and compliance requirements [link: 17.8.8].

17.2.5 **Further Policies Rules and Procedures**

Research units, Divisions or Sections within the University may impose additional conditions of use upon IT Resources or facilities under their control. Such conditions must be consistent with this overall policy. They may provide additional detail, guidelines or greater restrictions. They may not provide lesser restrictions.

17.2.6 **Communications and Public Relations**

Other standards and rules developed by the Vice President for Communication and Public Relations apply to use of University IT with regard to e-mail, websites, and social media; compliance with those standards and rules is mandatory [link: 16.3].

17.2.7 **Students**

Students should refer to the Graduate School Handbook in addition to familiarizing themselves with this chapter [link: 5].

17.2.8 **General Conduct**

Beyond the policies and procedures regarding usage of the IT Resources as detailed herein, all users are expected to exercise sound judgment, and in situations where policy or procedure is unclear are expected to contact IT Division or the relevant party to seek clarification.

17.2.9 **Compliance**

Any breach of information security, or misuse of IT Resources is regarded as serious. Breaches may result in disciplinary action, up to and including dismissal and legal action.

17.3 Rules

17.3.1 Authorization and Access

All access to, and usage of IT resources must be appropriately requested, approved, registered and audited. A user is defined as any individual or entity granted access to OIST information assets to a level above public classification [link: 17.8.9], or to IT resources above that available to the general public.

Users are responsible for protecting their account information by ensuring that their login, password and other access credentials remain secure at all times. The sharing of account information or passwords is not permitted, and may only be known to, and used by the individual assigned them.
In using these resources, users agree to abide by all relevant University policies, rules, procedures and applicable law. Users must acknowledge this understanding by reading and signing the OIST Graduate University Acceptable Use Policy, via physical signature or digital equivalent [link: 17.6.1].

17.3.1.1 Account Creation

User accounts will be created via the following process:

- Onboarding into the University via the process relevant to the user's classification, resulting in registration into the OIST Identity Management System [link:17.8.17]
- Acknowledgement by signature (or digital equivalent) of the OIST Graduate University Acceptable Use Policy [link: 17.6.1]
- Supervisors' advance authorization to access any IT resources beyond those allocated by default
- Authorization by the relevant Information Asset Manager [link: 17.4.8, 17.4.7] or Information Asset Administrator [link: 17.4.9, 17.8.13] to access any Information Assets managed locally

17.3.1.2 Account Extension

Requests for extension of access shall be made with valid justification, via the process relevant to the user's classification. Extension processes will include at least a minimum of supervisors' approval, and any further approvals as required.

17.3.1.3 **Account Expiry, Deactivation and Deletion**

Accounts will be automatically deactivated upon expiry of a user's term at the University unless extended as described above.
Systems administrators must deactivate invalid accounts when found, or as instructed by the CIO, CISM or legal counsel, and report the event to CIO and CISM.

17.3.1.4 **Access Rights**

Should users change roles or responsibilities, supervisors are responsible for ensuring updated access rights are communicated to IT Division, and any relevant Information Asset Managers [link: 17.4.8]. Information Asset Managers are responsible for ensuring that access rights are updated appropriately.

17.3.1.5 **Privileged Users/Systems Administrators**

Any user granted escalated privileges [link: 17.8.14] must use them only when required to do so in order to conduct OIST business. System access events of users possessing escalated privileges are to be recorded and monitored at all times.

17.3.1.6 **Shared Accounts**

Shared accounts are not in principal permitted, exceptions may be made at the discretion of the system administrators, with concurrence of the CIO or CISM.

17.3.1.7 **Unauthorized Access**

All users, including system administrators, must report unauthorized access to the CISM immediately if suspected.

17.3.2 **Bring Your Own Device (BYOD)**

The University does not require personnel to use their personal resources to conduct University business.

Within the administration, the usage of personal IT assets to conduct OIST business is permitted only with the authorization of IT Division.
Within research units, the faculty may choose to permit the use of BYOD devices, and users may elect to use their own resources accordingly, though at no time should any user be compelled to do so. The University accepts no responsibility or liability for damage to BYOD devices. The faculty and asset owner are accountable for any and all issues arising from the usage of such personal assets.

Note that in connecting a personal IT asset to the OIST network (BYOD), or using a personal asset to store or transmit University Information, the asset is then subject to this policy and must comply with all OIST requirements. In the case of BYOD devices, eligibility to store OIST information assets may vary. Users are required to ensure that OIST information assets, the devices used to access them, and the mode of access conform to OIST information classification and device eligibility criteria [link: 17.8.9].

17.3.3 Connecting to the OIST Network

The OIST network is an essential research resource, maintaining its availability and security is vital to the function of the University and is the responsibility of all users. All IT assets connecting to the OIST network must do so via OIST network authentication, uniquely identifying the active user. Users may only connect OIST IT assets for which they have authorization to use to the OIST network, and only for their own use. The connection of assets to the OIST network for the use of other users, or third parties is strictly prohibited.

Where network authentication poses a barrier to research or OIST business, users must contact IT Division to seek an exception. The connection of any devices that would bypass or mitigate network authentication, or enable other devices to do so, is strictly prohibited.

In order to ensure the security and stability of the OIST network, the connection of network devices, such as switches, routers or hubs without the authorization of IT Division is strictly prohibited. The usage of any wireless networks other than those provided by IT Division within OIST facilities without prior permission of IT Division is not permitted. Any unauthorized devices found to be connected to the OIST network, or providing wireless networking within OIST facilities may be disconnected without notice.

17.3.4 Procurement, Outsourcing and IT Assets

OIST IT Asset purchases must be fit for purpose. They must also be procured, audited, re-used and disposed of appropriately. In addition to University procurement policy, rules and procedures [link: 28], the purchase of IT Assets are also subject to the rules herein.

Regardless of procurement path or budget, all IT assets procured, donated to or otherwise received by OIST must be physically inspected by IT Division

staff upon receipt. This inspection will include indelible asset marking (exceptions to which must be approved by CIO), and registration into the Configuration Management System (CMDB) [link: 17.8.32] to allow for the efficient tracking and auditing of assets.

Exemptions may exist where the IT asset is an integral part of a larger research device or apparatus, i.e. a control PC bundled with a microscope. In this case the party receiving the asset is to coordinate with IT Division.

Consultation with IT Division is required before the purchase of any IT asset intended to be housed in IT Division facilities (server rooms, network spaces etc.) [link: 17.3.30].

17.3.4.1 **Procurement of IT Assets within the Administration**

Within the administration, including the Research Support Division, the procurement or upgrade of any IT asset (including any software procurement with a price above a 10,000yen) must be conducted via IT Division. This is to ensure standardization where applicable, and to ensure the devices are purchased in an efficient fashion. The procedure for requesting the purchase or upgrade of an IT device within the administration is detailed at PRP 17.5.1[link: 17.5.1].

All IT assets within the administration fall under control of the IT Division, and are subject to this policy regardless of how they were acquired or funds used to purchase them.

17.3.4.2 **Procurement of IT Assets within Research Units**

Research units are strongly encouraged to consult with IT Division before purchasing any IT asset. Where the research unit elects to purchase without consultation, the level of support IT Division can deliver to the IT asset may be limited. Connectivity with OIST networks is not guaranteed in this case. The support levels available to the various device categories are detailed in the SLA [link: 17.8.6]. The procurement process for IT assets within research units is covered under PRP 17.5.3[link: 17.5.3].

IT assets to be procured as part of a larger research equipment purchase, or to be attached to research equipment should be specified with thought to reliability and performance. The reliability of these assets has substantial impact on the productivity of critical research equipment. Guidelines for specifying these purchases are

part of the process for procurement of IT assets within research units [link: 17.5.3].

17.3.4.3 **Procurement of IT Assets via Corporate Credit Card**

The purchase of IT assets using corporate credit card (P-Card) is restricted, please see PRP 26.3.7[link: 26.3.7]. The purchase of IT assets from online vendors can only be conducted via IT Division.

17.3.4.4 **IT Asset Tracking**

All IT assets which are wholly or partially owned by the university are to have the OIST asset tracking agent installed. This agent allows for the dynamic audit of IT assets, resulting in substantial savings in costs and personnel time during mandatory yearly asset audits. This requirement is mandatory for all assets in the administration, and strongly advised for assets within research units.

17.3.4.5 **IT Asset Transfer**

The transfer of usage or ownership of any IT device, including between users, sections or research units, must be conducted via IT Division. In this way the asset register and CMDB is kept up to date, and data in the devices is securely erased [link: 17.8.21] prior to transfer to prevent breaches in security or personal information protection. The process for transferring an asset between users or sections and units is described at PRP 17.5.5 [link: 17.5.5].

17.3.4.6 **IT Assets Outside of OIST Premises**

Where any IT asset is to be taken off-site, including for the purposes of business trips or working from home, prior authorization must be given by IT Division. In the case of laptops and mobile devices this authorization is normally incorporated into the agreement signed by the user upon physical issuance of the device [link: 17.5.4].

17.3.4.7 **IT Asset Disposal**

The disposal of all OIST IT assets must be conducted via IT Division, regardless of how they were acquired or the nature of the funds used to purchase them or if they are partially or wholly owned by OIST.

17.3.4.8 **IT Asset Theft, Loss or Damage**

Users must report the loss, theft or damage of any IT Asset to the IT Helpdesk promptly [link: 26.3.3].

17.3.5 **Enterprise Applications**

An enterprise application is defined as any administrative system key in conducting University business. The functionality and quality of these systems can have substantial impact on University business productivity. The design and implementation of such system must be performed with due diligence, in consultation with the Enterprise Application Services Team (EAS), and via the mandatory process detailed at PRP 17.5.7 [link: 17.5.7].

17.3.6 **Outsourcing of IT Services**

Where contracting with an external party to provide a service or system that will store, transmit or receive OIST information assets, additional consideration must be given to the factors below. This is atop the procurement processes as detailed in PRP Chapter 28[link: 28], and the enterprise application review process [link: 17.3.5].

- A service level agreement (SLA) between OIST and the service provider.
- A non-disclosure agreement and other restrictions preventing the utilization of OIST Information assets for purposes other than those intended.
- The maturity of information security process within the service provider. Management structures within the service provider and its infrastructure which will protect OIST information assets from unintended changes by third parties, including subcontractors.
- OIST's right to audit the service provider's compliance with the contractual and security requirements.
- Regular monitoring and reporting to OIST on information security performance.

17.3.7 **Outsourcing and Information Security**

Where the operation or maintenance of a system or service is outsourced, the system owner shall be responsible for monitoring compliance with OIST information security requirements, reporting any discrepancies to the CISM.

In the case of information security incident or misuse of the system, the system owner or CISM may suspend the outsourced service. The procedure for the suspension of service, and correct allocation of authorizations to allow this shall be granted to the CISM by the system owner.

The system owner shall ensure that all information assets handed over to the outsourcer during the course of the contract are duly retrieved or destroyed at the appropriate point on or before termination of the contract.

Where the operation or maintenance of a system or service is outsourced, those matters stipulated in OIST Guidelines for Personal Information Protection [link: 12.3.8] must be adhered to.

17.3.8 **Software and licensing**

IT Division provides a wide range of research and business software to OIST users. Users are encouraged to use these software, but must respect copyright law and licensing restrictions at all times.

Software titles held by IT Division are in general only eligible for installation onto IT assets wholly owned by the University, users must not install software onto an IT asset without first confirming the IT asset is eligible. Details of available software and licensing restrictions are covered as part of the software catalog [link: 17.8.33].

Within the administration the use of software outside the software catalog is not permitted. Where additional software is required, users must contact IT Division to request an addition to the catalog.

Within research units the use of software outside the software catalog is permitted, though consideration must be given to security. In using software outside the software catalog users should:

- Ensure the software has been downloaded from known reputable sources, such as the official website
- Ensure security patches are applied

17.3.8.1 **Licensed or commercial software**

IT Division manages all commercial or licensed software within the administration, and many of the research software titles. Research units are strongly encouraged to contact IT Division before purchasing additional software. If there is general and continuing interest in a software product not yet offered in the software catalog, IT Division will research the request to see if we can negotiate an agreement that will best benefit the University.

17.3.8.2 **Open-source software and freeware**

Within research units users are encouraged to use open source software and freeware, but are also encouraged to consult with IT Division. Where there is a continuing interest in a software title IT Division will package the software, manage updates and monitor

security alerts and issues.

17.3.9 Information Asset classification

Information Asset manager shall assign information assets into one of the four classifications listed below, based upon determined value, confidentiality, integrity and availability. Where information assets with different levels of classification are grouped together, the highest classification shall be applied.
Further guidance on the handling of information assets is detailed under PRP 17.8.9 "information classification and device eligibility" [link: 17.8.9].

17.3.9.1 Public

Information assets assigned the 'Public' classification should either be by their nature a matter of public record, or have been deemed safe to be publicly disclosed or to provide positive or neutral impact to OIST business, reputation or personnel.

17.3.9.2 Internal

Information assets to be assigned the 'Internal' classification are those for which disclosure is not appropriate, and may result in a moderate negative impact to OIST business, reputation or personnel. These assets are to be made accessible to OIST users on a need to know basis. Unpublished research data or papers are in general deemed to fall under this classification.

Third parties may be granted access to information assets with an 'Internal' classification where a business need exists.

This classification should be regarded as the default for OIST information assets.

17.3.9.3 Confidential

Information assets assigned the 'Confidential' classification are those for which disclosure would result in significant negative impact to OIST business, reputation or personnel. This classification includes information assets subject to protection under law or government regulation, including but not limited to personal information such as My Number, credit card and passport information. These assets are to be made accessible only to small restricted groups of users by Information Asset Managers, on a need to know basis. Access is to be regularly audited.

17.3.9.4 **Critical**

Information assets assigned the 'Critical' classification are those for which disclosure would result in severe negative impact to OIST business, reputation or personnel. Access to 'Critical' information assets shall be granted only to small, tightly restricted groups of authorized users. The strict system access and data access controls must be applied, and access audited regularly. Information assets can only be assigned the 'Critical' classification upon approval by the Provost or the Chief Operating Officer (COO).

17.3.10 **Protection of Information Assets**

In ensuring the basic protection of OIST information assets, users must handle Information Assets in a manner appropriate to the information classification they have been assigned. The security level of the devices used to access information assets and the mode of access must be commensurate with the sensitivity of the asset and conform to OIST information classification and device eligibility criteria [link: 17.8.9].

OIST information assets are to be used for business purposes only, users shall not use OIST information assets for any purpose other than the task for which they are intended. Access to Information Assets must be granted on a "need to know" basis, where required for a user to complete their duties, and in line with business needs.

The protection of personal information is further restricted by the regulations as detailed in [link: 12.3.8]. All users which will deal with personal information must familiarize themselves with, and remain abreast of changes to these rules.

17.3.11 **Information Security**

Compliance with information security policy is vital to ensuring the security of OIST information assets, and is the responsibility of all users. In protecting the university and its information assets users must comply with the rules herein when creating, processing or storing information.

In supporting the CISM to protect the interests of the University, systems administrators shall comply with all rules detailed herein, and comply promptly with directives from the CISM when given.

17.3.12 **Information Security Incident Response**

Information security incidents [link: 17.8.35] are defined as a single or series of unwanted events that compromise (or are likely to compromise) the confidentiality, integrity or availability of OIST Information assets and/or breach OIST rule or Japanese law.

Security Incident Response differs from Data Forensics [link: 17.3.13] in that it is triggered by notifications or events, and that only the result of the investigation is disclosed beyond the IT personnel tasked with investigating it, no data is disclosed. The CIO and CISM are responsible for investigating security incidents, and to take all necessary actions in order to protect OIST and its resources and/or to provide information relevant to an investigation. In this regard the Chief Information Officer (CIO) [link: 17.4.5], Chief Information Security Manager (CISM) [link: 17.4.6] and Networking and Telecommunications Manager (NTM) [link: 17.4.7] have specific rights and responsibilities.

Any user who becomes aware of an information security incident must immediately contact CIO and CISM via e-mail cio@oist.jp cism@oist.jp), or by phone (see the OIST directory, https://directory.oist.jp).
Please see the Information Security Incident Response Procedures for more details [link: 17.5.8].

17.3.13 **Data Forensics**

Data forensics is the practice of identifying, extracting and examining data in response to incidents. This may include data held in on IT assets, e-mail, SharePoint, or any other digital repositories.

Data forensics are routinely performed after consultation with and consent from the owner of the data. In cases where the data owner does not consent, or where legal or other requirements prevent seeking the consent of the data owner, the approval of the President is required.

The incidents triggering data forensics, along with the data and IT assets involved, are often sensitive or confidential in nature. The purpose of the Data Forensics Procedure is to ensure that data forensics activities are conducted appropriately. The procedure requires that appropriate approvals take place, that the privileges of the parties involved are segregated, and that access to data is limited to only that relevant to the incident.

Request

The data forensics investigation request form is completed by the individual tasked with performing the examination of the data (the investigator), or responsible for the transfer of custody of the data in cases involving the police. The request for details;

- The reasoning behind the request
- The data to be targeted as part of the request
- The duration for which access to the data will be required

Approval
The form must be approved by one of the Vice-Presidents, Deans or General Counsel, and either the data owner or the President.

Verification
The CIO or delegated representative will receive the request and verify that appropriate approvals have been given. They will then appoint a member of IT to extract the relevant data.

Extraction
The member of IT Division performing the investigation will extract a data to an encrypted, dedicated temporary PC, and give custody to the CIO or delegated representative.

Access
The CIO or delegated representative will then give custody of the temporary PC and associated access credentials to the investigator.

Deletion
Once the access duration period has expired, the CIO will ensure the temporary PC is returned and all extracted data is securely erased.

Reporting
The CIO will prepare and send a final report to the President which describe the result of the data forensics activity, and confirms the date of deletion of the data extracted.

Filing
The request form will be filed within IT, along with the final report.

Responses to IT security incidents are not covered here, and are instead covered under PRP 17.3.12, Information Security Incident Response [link:

17.3.12].

17.3.14 IT Asset Removal

IT Asset Removal is the temporary removal and retention of an IT asset in response to an incident. This may include the removal and retention of laptops, desktops, mobile drives or any other IT asset. IT assets are often critical to business functions, as such their removal is not routine, and must be appropriately requested and approved as described below.

IT assets can be removed and retained upon request by of one of the President, General Counsel, Provost, COO, Dean of Research, or Dean of faculty Affairs, with the concurrence of the CIO. The CIO will notify the asset owner of the device removal, and delegate a member of IT Division to remove and retain the IT asset within secure IT facilities. The removal of the IT asset may precede the notification to the asset owner where legal or other requirements prevent advance notification.

Access to data held on IT assets, including those that have been removed and retained, is subject to the Data Forensics Procedure [link: 17.3.13].

Responses to IT security incidents are not covered here, and are instead covered under PRP 17.3.12, Information Security Incident Response [link: 17.3.12].

17.3.15 Labeling

Information assets must have their document classification clearly marked on the cover page, footer, header or watermark regardless of format. Including but not limited to, printed, handwritten, or electronic documents and records, e-mail contents or subject.
The internal classification may be omitted as it is the default classification.

17.3.16 Copying

Users and Document Management Administrators [link: 12.3.4.3.2] shall keep the number of copies of confidential information, in any combinations of media or format, at the minimum required. Where necessary, they shall also keep a record of their distribution. Users shall keep all hard copies or storage media in physically secured storage, such as a locked drawer or filing cabinet. Users shall securely dispose of copies when they are no longer required.
Where information is replicated, the original classification is inherited. Users must evaluate the requirements of integrity and availability against

security when creating or replicating information.

17.3.17 E-mail

Users are responsible for ensuring that information exchanged via e-mail is protected to a level commensurate with the classification of the information. When exchanging information with a classification of 'confidential' or higher, strong data encryption must be applied.

The transfer via e-mail of payment information (such as credit card numbers, bank account details), Individual Numbers (My Number), passport information or other personal information is strictly prohibited unless the data is first encrypted.

Refer to the Information Security site for further guidance on managing the risks associated with the use of e-mail. Information Security Site

All administrative employees, and research support employees shall use only the OIST provided e-mail system. The forwarding OIST e-mail to an external e-mail service provider, or access to OIST e-mail servers from external providers is not permitted.

17.3.18 Prevention of information leakage or manipulation in transit

Users shall apply security controls when transmitting data of 'confidential' or higher classification to external parties.

- Such data must be encrypted prior to transmission
- Encrypted data and password should be transmitted separately, ideally via different mechanisms.
- The use of multiple entity protection is encouraged.

17.3.19 Use of removable media

The following restrictions apply to removable media devices, including but not limited to USB thumb drives, mobile hard drives, SD cards and any other transportable or mobile storage technologies:

- Within the administration, the use of removable media is prohibited, repositories provided by IT Division are to be used. Contact IT Division to seek exception from the CISM or CIO.
- Within research units, the use of removable media to store 'Confidential' and 'Critical' information is at the discretion of the faculty.

Refer Information Security site for further guidance on managing the risks associated with the use of removable media [link: 17.8.20] Information

Security Site

17.3.20 **Remote access**

When accessing OIST IT resources from outside the OIST network, users must first obtain advance permission from IT Division, and access resources only via approved OIST IT remote access services (VPN, SSH, etc.)

The use of any non-OIST managed remote access software or services, such as Team viewer, to provide external access to OIST IT resources is prohibited. Exceptions may be granted by the CIO or CISM where network security has been enhanced, users must contact IT Division to request an exception.

17.3.21 **Information disposal**

Users must securely erase 'internal' or higher classified information promptly in non-recoverable manner when they are no longer required. Users must physically destroy all hard copy of confidential documents in non-recoverable manner prior to disposal. Users shall escalate to IT Division as required [link: 17.5.1].

17.3.22 **IT Asset Security**

All users are responsible for preventing the theft of IT assets. Users shall ensure following controls in order to prevent theft of, or unauthorized access to IT Assets.

- IT Assets except mobile devices shall be locked with security wire in all publically accessible locations, or where the asset has accessed data of classification of 'Confidential' or above
- IT Assets must be securely stored in locked drawers or cabinets when not in use
- Screen lock functions must be configured to activate automatically after no longer than 5 minutes

17.3.23 **Protection against malicious software**

Users are responsible for ensuring that any IT asset they manage have:

- Latest software patches and updates applied
- Anti-virus or other applicable anti-malicious software installed and up to date
- Real-time inspection of files for malicious software is enable Potentially malicious files quarantined when detected

- A full scan of the files to detect malicious software run periodically
- All data or software received from external parties scanned before opening or importing

Users must remain abreast of the latest security updates from IT, and make efforts to prevent malicious software infection

17.3.24 Mitigation of threats to IT Services

OIST is under constant attack from external parties seeking to access and exploit its IT Resources. In protecting OIST and its users, IT Division and systems administrators shall conform to the following requirements.

17.3.24.1 Software vulnerability management

System administrators shall ensure patches or workarounds are in place for any published vulnerabilities prior to production use of any software. Once a system has moved to production operation, system administrators shall remain appraised of updates and patches to systems, and apply them in a timely fashion, accounting for potential impact to the system and its users. Where a vulnerability which may result in the compromise of OIST information assets is detected, the system administrator shall immediately contact the CIO and CISM and take appropriate action to protect OIST information assets.

17.3.24.2 Measures to limit malicious software

System administrators shall install anti-malware software into servers or other devices that supports such software. The system administrator shall monitor status of anti-malware software and take any action necessary. The system administrator shall keep anti-malware software and its definition files up to date. Only system administrators shall have the escalated privileges required to change the configuration of anti-malware software, and shall not grant such privilege to other users. The system administrator shall configure anti-malware software to scan to the system periodically.

17.3.25 Intrusion prevention

The system administrators shall implement the following controls in order to prevent intrusion into servers and systems;

- Delete or turn off unnecessary services
- Prevent the execution of unknown or unauthorized programs or code
- Ensure firewall configurations are created and updated such as to allow

only the communication channels required for the operation of the system or software

The system administrator shall implement the following controls in order to prevent intrusion via removal media (where the use of such devices is permitted) [link: 17.8.20];

- Disable all unnecessary USB ports or physical connections to the server or device
- Scan removable media using anti-malware software upon connection

17.3.26 Training

17.3.26.1 User training

Supervisors are responsible for ensuring that a user is properly trained with regard to information security prior to commencing work, and is to ensure that the user conducts themselves accordingly.

17.3.26.2 System Administrators Training

System Administrators must be fully trained in all aspects of system security prior to being granted escalated privileges to OIST systems.

17.3.27 Web presence

17.3.27.1 Domain name management

IT Division manages the oist.jp domain on behalf of the Communications and Public Relations division.

Research unit websites shall be located within the unit.oist.jp domain or other subdomain and under the control of IT Division. This rule is in place to allow clear differentiation between the core university web presence and that of the research units or projects.

17.3.27.2 Internet domain name per purpose

Research projects which require a URL which lies entirely outside of the OIST domain, shall request IT Division to register the external domain name and to create the virtual machine to house the site. This request shall be approved by the CIO, and the Dean of Research / These domains shall normally be restricted to .org or .net (non-profit) extensions, other domains shall require consultation with and approval by the CIO. All units are required to keep their OIST unit

(groups) site up to date, the creation of any websites for the promotion of the unit itself outside of this space is discouraged.

17.3.28 Operation and Management

17.3.28.1 Business continuity planning

Information asset managers and IT Division shall develop business continuity plans, ensuring the availability of OIST information assets and resources. Business continuity plans shall be tested at least annually to validate their effectiveness, and to ensure staff are appropriately trained in its execution.

17.3.28.2 Backup

Information Asset Managers and IT Division shall ensure that information assets are backed up to a frequency, and to a level of redundancy, commensurate to the value of the assets. Information Asset Managers shall identify the retention period of information assets and manage them.

Restore tests are to be conducted annually, or more frequently for 'Critical' or rapidly evolving information assets.

Information Asset Managers shall request IT Division delete, revoke or physically destroy backup data for assets which have exceeded their retention period, or no are longer required.

17.3.28.3 Change management

Change Management is a process that ensures that any change made to OIST IT Resources is documented, reviewed and approved. It encompasses both larger planned changes such as projects and smaller reactive changes such as software patches and unscheduled server maintenance. Change management processes and procedures must be in place, documented and implemented for all OIST IT Resources. Management responsibilities and procedures will be defined to ensure satisfactory control of all changes to equipment, software, or procedures. These procedures will be defined in the SLA.

17.3.29 Access to OIST IT facilities

Access to OIST IT facilities, including server rooms and network and communication spaces, is restricted. All access to these facilities is subject to authorization and authentication, access must be approved by the CIO or

CISM.

Access for the purposes of site-tours should be coordinated through the CIO Office.

17.3.30 **Hosting of hardware in OIST IT facilities**

Any party at OIST wishing to purchase and/or house hardware (including servers and storage) into OIST IT facilities must consult with IT Division. Failure to do so will likely result in the hardware being ineligible to be housed; IT Division reserves the right to refuse to house any hardware it does not deem appropriate or safe to house in OIST facilities. The hardware must further confirm to OIST server hardware requirements, the basic requirements for server hardware are specified at PRP 17.5.6 [link: 17.5.6].

17.3.31 **Logging and monitoring**

IT Division shall as a matter of course collect and analyze logging information from IT resources in order to detect intrusion or misuse. IT Division retains the right to access any and all logging information generated by any IT resource for this purpose. In complying with legal requirements and contractual obligations, IT Division shall also retain audit logs covering user activity, security events and any other relevant information. This information is classified as 'confidential' and access restricted to appropriate members of IT Division accordingly.

17.3.32 **Further Policies Rules and Procedures**

Faculty or Vice Presidents within the University may impose additional rules and procedures upon the use of OIST information assets. Such additional rules and procedures must be consistent with this Chapter; but they may provide additional detail or greater restrictions; they may not reduce restrictions.

Students should refer to the Chapter 5 "Graduate School Handbook" [link: 5] in addition to familiarizing themselves with this chapter.

17.4 **Right and Responsibilities**

17.4.1 **The University**

The University owns and controls all its information assets. Though the University takes reasonable security measures to protect the security of its IT resources, the University does not guarantee absolute security nor privacy. The University has the right to monitor any and all IT Resources

and their usage, including e-mail, without limitation. The University is responsible for taking any measures necessary to ensure the security and integrity of its IT Resources. When it becomes aware of violations of policy or Japanese law, either through routine system administration activities or via incident notification, it is the responsibility of the University to investigate as needed or directed, and to take all necessary actions in order to protect its resources and/or to provide information relevant to an investigation.

In this regard, the Chief Information Officer (CIO) [link:17.4.5], Chief Information Security Manager (CISM) [link:17.4.6] and Networking and Telecommunications Manager [link:17.4.7] have specific rights and responsibilities.

17.4.2 User's rights and responsibilities

Users [link: 17.8.11] are granted access to IT resources in order to conduct University business. In using these resources, users agree to abide by all relevant University policies, rules, procedures and applicable law. Users must acknowledge this understanding by reading and signing the OIST Graduate University Acceptable Use Policy [link: 17.6.1], via physical signature or digital equivalent.

17.4.3 Faculty

Faculty members serve as Information Asset Manager [link: 17.4.8] for information assets within their purview, and may delegate the Information Asset Administrator [link: 17.4.9] role to a unit member. In managing research Information Assets, Faculty will give due consideration to contractual requirements, such as research agreements with other Universities or companies.

Faculty are responsible for ensuring that users under their supervision are trained in all relevant IT policy, rules and procedures as well as applicable law prior to commencing work.

17.4.4 Vice Presidents, Senior Managers and Managers

Vice-Presidents are responsible for nominating Information Asset Managers to manage information Assets within their remit.

Vice-Presidents, Senior Managers and Managers are responsible for ensuring that users under their supervision are trained in all relevant IT policy, rules and procedures as well as applicable law prior to commencing

work.

17.4.5 Chief Information Officer (CIO)

The CIO has the following general accountability and responsibilities with regard to University IT:

- Establishing a strategic plan for University Information Technology
- Overseeing the development, installation and maintenance of IT systems
- Establishing and disseminate enforceable rules regarding access to and acceptable use of Information Assets
- Establishing reasonable security policies and measures to protect data and systems
- Monitoring and managing system resource usage
- Investigating problems and alleged violations of University policy, and reporting violations to the President
- Designating a Chief Information Security Manager (CISM)

17.4.6 Chief Information Security Manger (CISM)

The CISM has overall responsibility for ensuring the security of the University, including:

- Developing security processes and procedures
- Conducting information security incident response, reporting results to the CIO
- Developing an audit plan, conducting it at a minimum of annually
- Developing, installing and operating IT security monitoring systems

17.4.7 Networking and Telecommunications Manager (NTM)

The Networking and Telecommunication Manager (NTM) is responsible for the function and integrity of the OIST network. The NTC Manager has the right to disconnect or refuse the connection of any device to the OIST network. Where the NTC manager determines that a device has been used in a manner which violates OIST policy, the incident is to be reported to the CIO and CISM.

17.4.8 Information Asset Manager

Information Asset Managers are accountable for defining the classification level of, authorizing access to, and ensuring an appropriate permission scheme for, the information assets within their remit, in accordance to any and all relevant laws, rules and regulations. In most cases, Information Asset Manager is the head of a research unit or administrative division

handling the information asset.

The Information Asset Manager may designate an Information Asset Administrator to manage information assets, but accountability remains with the Information Asset Manager.

17.4.9 **Information Asset Administrator**

Information Asset Administrators are responsible for ensuring appropriate handing of OIST information assets.

17.4.10 **Privileged users and System Administrators**

All users granted escalated privileges, including System Administrators, are responsible for the application of this and related policies to the IT resources in their care, under the direction of system owners and Information Asset Managers. Beyond the OIST Acceptable Use Policy [link: 17.6.1], these users must also read and sign the System Administrators Code of Conduct [link: 17.6.2].

17.4.11 **Third-party users**

OIST expects all partners, consultants and vendors agree to, and abide by all relevant University policies, rules and procedures, as well as all applicable law. If information assets or resources above a "Public" classification are to be accessed or shared with these third parties, they shall be bound by contract to abide by OIST's Acceptable Use Policy [link: 17.6.1] as well as a suitably drafted non-disclosure agreement.

17.4.12 **System Developers and Integrators**

System Developers and Integrators are responsible for the application of this and related policies to all IT resources in their purview. If information assets or resources above a public classification are to be accessed or shared with these third parties, they shall be bound by contract to abide by OIST's Acceptable Use Policy [link: 17.6.1] as well as a suitably drafted non-disclosure agreement.

17.5 **Procedures**

For details on the IT procedures and Information Security, please see the IT Division website https://groups.oist.jp/it.

17.5.1 **General IT request process**

Any user wishing to contact OIST IT can do so via;

- E-mail: it-help@oist.jp
- Web request form: https://groups.oist.jp/it
- In person: Lab 2 Level B (mountain side)

17.5.2 Purchasing or upgrading an IT asset within the administration

The purchase or upgrade of an IT assets within the administration is to be performed via IT Division. The catalog of standard devices is as listed on the IT Division site https://groups.oist.jp/it/hardware-catalog. Purchasing requires the approval of the division leader, once obtained staff should contact IT [link: 17.5.1]. Non-standard devices are permitted by exception from the CIO or Support Services Manager

17.5.3 Purchasing or upgrading an IT asset within research units

The catalog of standard hardware is provided on the IT Division website https://groups.oist.jp/it/hardware-catalog. These devices are tested and well supported in the OIST environment. If researchers wish to purchase any item on the catalog, they can contact IT Division via the process described in PRP 17.5.1 [link: 17.5.1] to request a quote.

If researchers wish to purchase any devices not on the catalog, they are strongly encouraged to contact IT Division first to ensure that the device will be compatible with OIST systems. IT Division also has a strong knowledge of local vendors and is better placed to negotiate.

In the case that IT assets are to be part of or attached to research equipment, guidelines regarding the specification of these assets are defined here: https://groups.oist.jp/it/basic-recommended-specification-research-device-connected-pcs

17.5.4 Offsite Usage Authorization

https://groups.oist.jp/it/post/2012/06/06/formspolicies

17.5.5 How to re-allocate or relinquish an IT asset

https://groups.oist.jp/it/post/2012/06/06/formspolicies

17.5.6 Hosting devices in IT facilities

https://groups.oist.jp/it/hosting-devices-oist-it-facilities

17.5.7 Specification process for enterprise applications

https://groups.oist.jp/eas/specification-process-enterprise-applications

17.5.8 **Information Security Incident Response**
https://groups.oist.jp/it/info-sec-incident-response

17.5.9 Email & Online Communication Code of Practice
https://groups.oist.jp/it/email-and-online-communication-code-practice

17.6 **Forms**

17.6.1 **OIST Graduate University Acceptable Use Policy**
https://groups.oist.jp/it/it-aup

17.6.2 **System Administrators Code of Conduct**
https://groups.oist.jp/it/info-sec-aua

17.7 **Contacts**
Policy Owner: Chief Information Officer

17.8 **Definitions**

17.8.1 **Information Technology Resources (IT Resources)**
The University defines its IT Resources as comprising of the set of all Information assets, and Information Technology Assets (IT Assets).

17.8.2 **Information Assets**
The University defines its Information Assets as comprising of all University information; including but not limited to all research and administrative, data, files, workflows and mechanisms for managing University information regardless of media format. This broad definition encompasses special categories of information assets for which further rules and procedures apply, such as Corporate Documents, and Personal Information.

17.8.3 **Information Technology Assets (IT Assets)**
The University defines IT Assets as all computer, communication devices and other technologies which access, store or transmit digital University Information; including but not limited to electronic networks, systems, cloud services, computers, devices, telephones and software, whether wholly owned by the university or otherwise.

17.8.4 **Devices**

Device is a synonym for Information Technology Assets [link: 17.8.3].

17.8.5 Information Technology Service Management (ITSM)

Information Technology Service Management (ITSM) is a set of practices that focuses on aligning IT services with the needs of business.

17.8.6 Service Level Agreement (SLA)

A Service Level Agreement (SLA) is a document defined in the ITSM standard. This document describes the level of service expected of IT Division by users, and lays out the metrics by which that service will be measured. https://groups.oist.jp/it/it-service-level-agreement

17.8.7 Information Security

The underlying principles of information security are described on the OIST Information Security Website.
https://groups.oist.jp/it/information-security

17.8.8 Legislation Relevant to Information Security

The following legislation is relevant to Information Security at OIST.

- Act on Prohibition of Unauthorized Computer Access
- Act on the Protection of Personal Information Held by Independent Administrative Agencies, etc.
- Act on Access to Information Held by Incorporated Administrative Agencies, etc.
- Act on Electronic Signatures and Certification Business (Electronic Signatures Act)
- Copyright Act
- Unfair Competition Prevention Act

17.8.9 Information classification and device eligibility

https://groups.oist.jp/it/info-sec-classification

17.8.10 Information System (System)

An information system is a system composed of people and computers that processes or interprets information. In the case of OIST, information systems are systems that process, transmit or store OIST information assets. This includes but is not limited to systems developed, purchased or outsourced.

17.8.11 Users

Any individual or entity granted access to OIST IT Resources to a level above that available to the general public.

17.8.12 **Information Asset Manager**
Individuals accountable for defining the classification level, authorizing access to, and ensuring an appropriate permission scheme for the information assets, in accordance to any and all relevant laws, rules and regulations.

17.8.13 **Information Asset Administrator**
Individuals tasked with ensuring appropriate handing of OIST information assets.

17.8.14 **Escalated Privileges**
Privileges which allow users access to information assets or IT resources to a level beyond that normally permitted.

17.8.15 **Privileged users**
Users granted escalated privileges.

17.8.16 **System Administrator**
A subset of privileged users, possessing administration rights to systems or services.

17.8.17 **Identity Management System (IDM)**
The OIST Identity Management System (IDM) handles enterprise or cross-network identity management. The system controls OIST authentication and authorization systems, facilitating appropriate access schemes to information assets.

17.8.18 **Server**
A system that responds to requests across a computer network to provide, or help to provide, a service.

17.8.19 **Storage media**
Storage media is a device or tangible object for storing digital information, including hard drives, USB memory, DVD's etc.

17.8.20 **Removable media**
Storage media designed to portable.

17.8.21 **Securely erase**
To render all data on a storage media unreadable in an unrecoverable fashion.

17.8.22 **Outsourcing**
Provisioning services or systems under contract from a supplier external to the University.

17.8.23 **Entity**
A person, process, client, or server accessing OIST IT systems.

17.8.24 **Entity Authentication**
The process by which one entity is assured of the second.

17.8.25 **Identification**
Specification of the entity accessing the system.

17.8.26 **Access control**
The limitation of access to information resources to only permitted entities.

17.8.27 **Access right management**
To manage the authorization information in accounts and access control.

17.8.28 **Account**
Any entity registered into the OIST IDM.

17.8.29 **Encryption**
The process of encoding information assets in such a way that only authorized entities can read it.

17.8.30 **Malicious program (Malware)**
Malware is any software used to disrupt computer or mobile operations, gather sensitive information, gain access to private computer systems, or display unwanted advertising.

17.8.31 **Anti-malware definition file**
Data which is referred by Anti-Malware software to determine the malicious program.

17.8.32 **CMDB**
The OIST configuration management database (CMDB) is a repository that

stores information regarding IT assets, as well as descriptive relationships between them.

17.8.33 **Software catalog**

https://groups.oist.jp/it/oist-software

17.8.34 **Disaster recovery and Business continuity planning**

Disaster recovery (DR) involves a set of policies, procedures, systems and organization to enable the recovery or continuation of vital technology infrastructure and systems following a natural or human-induced disaster.

Business continuity plan (BCP) is a plan to continue operations if a place of business is affected by different levels of disaster which can be localized short term disasters, to days long building wide problems, to a permanent loss of a building.

17.8.35 **Information security incident**

Information security incidents are defined as a single or series of unwanted events that compromise (or are likely to compromise) the confidentiality, integrity or availability of OIST information assets and/or breach OIST policy or Japanese law. A compromise is an incident where the security of a system or its information was successfully harmed.

Examples of information security incidents include:

- Data loss due to any cause including operation error such as personal data being e-mailed to the wrong recipient
- Unauthorized use of a system for the processing or storage of data
- Noncompliance with information security and acceptable use policies
- Theft or other loss of a laptop, desktop, PDA, or other device that stores the University information, whether or not the device is owned by the University
- Attempts (either failed or successful) to gain unauthorized access to a system or its data
- Unwanted disruption or denial of service
- Malfunctions of software or hardware

17.8.36 **An advanced persistent threat (APT)**

An advanced persistent threat (APT) is a set of stealthy and continuous computer hacking processes, often orchestrated by human(s) targeting a specific entity. APT processes require a high degree of covertness over a long

period of time. The advanced process signifies sophisticated techniques using malware to exploit vulnerabilities in systems. The persistent process suggests that an external command and control system is continuously monitoring and extracting data from a specific target. The threat process indicates human involvement in orchestrating the attack.

Authority: Approved by the President

Chapter 18. Telecommunications Services and Devices

18.1 Policy

The OIST Graduate University (the University) aims to provide telecommunications services (including mobile phone services) to the University researchers and employees in a manner which is fair, simple, accountable and financially responsible. The University allocates telecommunications devices where appropriate in order to;

- Avoid excessive charges to the individual, generated where the University business must be conducted via a telecommunications device.
- Prevent the conduct of the University business via a personal telecommunications device where inappropriate.
- Ensure the individual has the capacity to act in emergency situations where tasked with doing so.

This policy applies all telecommunications services and devices regardless of the country of purchase, telecommunications carrier, or if the device has an associated ongoing service contract.

All the University telecommunications devices, including mobile phones, are managed by the University IT Division under centralized contracts. These centralized contracts result in significant cost benefits for the University; for example, calls from one University mobile phone to another incur no charges.

18.2 General Considerations

18.2.1 It is anticipated that all University users will have a personal telecommunications device in addition to the University provided device.

18.2.2 University provided telecommunications devices are intended to be used for business purposes only.

18.2.3 Limited personal use of telecommunication devices by President [link: 2.4.1], Auditors [link: 2.4.4], Senior Level Executive [link:

30.2.2.1.1] and Faculty Member [link: 30.2.2.1.2] (hereinafter "Executive Members") is permitted.

18.2.3.1 Where the monthly charges for the device exceed the threshold [link: 18.3.3], Executive Members will be presented with 3 months of usage data, and asked to identify the personal usage component. This personal usage component will be used to create a fixed percentage monthly charge for personal usage. Ongoing monthly charges for the device will be monitored by IT Division, and where average monthly charges for the device increase or decrease markedly, the above process will be repeated to calculate an updated fixed percentage monthly charge for personal usage.

18.2.4 There are several classes of telecommunications devices, which vary in cost to the University. Please see the list of standard University provided telecommunication devices [link:].

18.2.4.1 The University standard devices are selected based on functionality. Where a newer device does not present a benefit to the University business over a standard device, the device will not be provided regardless of personal preference.

18.2.4.2 The class of device provided will be commensurate with the business requirement. For example, lower cost devices such as flip-phones will be allocated where a more advanced device is not required.

18.2.5 Ownership and control of University IT devices, including telecommunications devices, is described in the PRP 17.2.1 [link: 17.2.1].

18.2.6 In general, the University funding for overseas purchase of IT and telecommunications services and devices is not permitted. Exceptions may be considered where specific University business is shown to require a local device overseas, and where the usage will be solely for that purposes. In general, internet chat and video conferencing services should be used for international communications.

18.2.7 Rental telecommunications devices are available from the IT Division, and rental of these devices is preferred over allocation to an individual where the requirement is temporary in nature.

18.2.8 Sections and units can also apply for locally shared telecommunications devices. These devices would be managed at the section or unit level, and allocated for specific functions, such as new employees, visiting researchers etc.

18.2.8.1 Sections and units are to elect a staff member who will be responsible for the management and allocation of any locally shared telecommunications devices.

18.3 Rules

18.3.1 Eligibility for a University telecommunications device must satisfy the eligibility criteria [link: https://groups.oist.jp/it/applying-oist-telecommunications-device] including;

- The need to conduct the University business via a telecommunications device while outside the University premises;
  - Where the use of another medium is not feasible.
  - Where the lack of said device would cause unavoidable and substantial costs to be incurred by the individual.
  - Where the detriment to timeliness, or losses in productivity would have a substantial impact on the University business.
    - Senior Level Executives are in general deemed to meet these criteria.
- The need for emergency contact, where the use of a personal mobile phone or telecommunications device is inappropriate;
  - Where the contact is of a legal or personally sensitive nature, i.e. medical or other confidential matters
  - Where the emergency situation would have an effect on the University as a whole.

18.3.2 Applications for the University telecommunications device must meet the eligibility criteria, and pass through an approval process [link: https://groups.oist.jp/it/applying-oist-telecommunications-device]. This approval process requires;

- A justification which meets the eligibility criteria and clearly details;
  - The class of device required
  - Why the device is required
  - The intended usage
  - Whether the device is for individual or locally shared use

- The period for which the device is required
- Approval process
  - Senior Level Executives shall receive approval from Chief Information Officer.
  - Other employees shall receive approval from Vice Presidents /Faculty Member or equivalent positions or above first, and seek final approval from Chief Information Officer.

18.3.3 Where monthly device costs exceed a threshold, confirmation that the usage was for business purposes will be required. Where the usage was personal in nature, the user will be requested to cover these costs. This threshold is currently set at 10,000 yen.

18.3.4 Inappropriate usage of telecommunication devices will be assessed by the Chief Information Officer and IT Service & Support Committee [link: https://groups.oist.jp/itssc] with possible outcomes to include;

- Suspension or cancellation of the device
- Request for the user to cover any additional charges

18.4 Responsibilities

18.4.1 Users, Sections and Units

18.4.1.1 Users, sections and units are to ensure that the usage of University telecommunications devices abides by all policies, rules and procedures as detailed in the PRP Chapter 17 Information Technology & Security [link: 17] at all times.

18.4.1.2 Users, sections and units are to notify the IT Division when the usage requirement as detailed in the approval process changes or ceases. In this case users, sections and units may be required to relinquish the device, or to re-apply via the approval process.

18.4.1.3 Users sections and units are to notify the IT Division as soon as possible in the case of loss or damage to the University telecommunications device.

18.4.1.4 Users, sections and units are responsible for ensuring that any University telecommunications device is used for appropriate work purposes at all times.

18.4.2 Vice Presidents /Faculty Member or equivalent positions or above

18.4.2.1 Vice Presidents /Faculty Member or equivalent positions or above are responsible for ensuring that staff under their supervision are using University telecommunication devices appropriately, and in compliance with the provisions in this chapter.

18.4.3 **IT Division**

18.4.3.1 IT Division is to contract for and manage all University telecommunication devices including mobile phones.

18.4.3.2 IT Division is to allocate, track and maintain the University telecommunications devices.

18.4.3.3 IT Division is to alert users, sections and units when monthly cost exceeds the accounting threshold, and send a cost breakdown to the user.

18.4.3.4 IT Division is to maintain relevant documentation and processes.

18.4.4 **Chief Information Officer**

18.4.4.1 Chief Information Officer shall ensure the IT processes and procedures are in place such as to implement the policy as defined in this chapter.

18.4.4.2 Chief Information Officer is responsible for ensuring the fair provision of services and that University telecommunication devices are provided in the most cost-effective way to meet the business communication requirements of authorized users.

18.4.4.3 Chief Information Officer is also responsible for assessing inappropriate usage of telecommunication devices and determining action in the case of suspected inappropriate use of a device in conjunction with the IT Service & Support Committee.

18.4.5 **IT Service and Support Committee (ITSSC)**

18.4.5.1 ITSSC shall deliberate and recommend policies on the University telecommunications device. ITSSC is responsible for determining action in the case of suspected inappropriate use of a device in conjunction with Chief Information Officer.

18.4.6 **The Dean of Research**

18.4.6.1 The Chief Information Officer advises the President on all high level IT and computing services relevant to the OIST community and its security. The CIO reports to the Dean of Research for all operational matters.

18.4.6.2 The Dean of Research has the ultimate responsibility for ensuring the appropriate implementation of policies, rules and procedures in this chapter.

18.5 Procedures

18.5.1 Any member of the University applying for the University telecommunications device should complete the application form [link: https://groups.oist.jp/it/applying-oist-telecommunications-device], then submit this form to IT Division.

18.6 Forms

18.6.1 The application form is available on the IT Division website [link: https://groups.oist.jp/it/applying-oist-telecommunications-device].

18.7 Contacts

18.7.1 Policy Owner:
Chief Information Officer

18.7.2 Other Contacts:
IT Division

Authority: Approved by the President

Chapter 19. University Events

19.1 **Policy**

Members of the OIST Graduate University (the University) are encouraged to organize international conferences, workshops, seminars and courses (collectively, "Academic Events") that facilitate scientific interaction and promote the University mission [link: 1.2]. The University also wishes to be a friendly, welcoming location that supports local communities, staff, students, family members, and visitors through a variety of functions and activities, including, but not limited to, meetings, artistic activities, public lectures, conferences, workshops, concerts, and cultural clubs. Collectively, Academic Events and the other activities dealt with in this chapter will be referred to as "Events."

NOTE: This Chapter does not deal with permanent or semi-permanent allocation of teaching space (rooms, lecture halls, and the like) for courses, classes, and teaching as part of the Graduate School curriculum, nor does it address use/booking of those spaces. Allocation and use of teaching space is a responsibility specifically vested in the office of the Dean of the Graduate School [link: 2.4.5].

19.3 **Rules for Scheduling & Booking Venues**

19.3.1 **Rooms**

Rooms and similar venues (those which are not "teaching spaces" reserved for the use of the Graduate School) must be booked using the University's online Exchange *room reservation system*. Reservations can be made up to one year in advance. Booking priority is given to official University functions. Conflicting requests and double bookings will be dealt with on a case-by-case basis by the office of the Vice President for Communication and Public Relations [link: 16].

For information concerning the booking of "common space" rooms by members of the public, please see Public Use of Common Space [link 19.3.2.4] in this chapter.

19.3.2 **Conferences, Workshops, Seminars, Exhibits, Events**

19.3.2.1 **Academic Events**:
In January of each year, applications must be submitted to the Workshop Committee for Academic Events which are *to be held at the University during the fiscal year commencing 16 months later (April of the next year)*. This lead-time is critical to the process of evaluating, prioritizing, locating, and calendaring academic events. NOTE: After an Academic Event has been approved, significant variations in the size and scope are not permitted without the prior approval of the Workshop Committee. A significant variation is defined as a change of more than 5% in the total budget, or a 10% change in the number of participants in different categories. Substitution of speakers due to cancellation is permitted within these limits. Applications for variations will be considered at the next meeting of the Workshop Committee. At least one month should be allowed for approval of variations.

19.3.2.1.1 The Workshop Committee reviews the applications and makes recommendations to the President. Incomplete applications will be returned without review.

- Applications will be evaluated according to the scientific merits of the proposed Academic Event and the costs and benefits to the University of hosting it.
    - A budget must be provided in accordance with the recommendations of the Workshop Committee.
    - If *additional external funding* support is being requested or has been received for an Academic Event, this fact must be stated in the original application.
    - Funding awarded by the Workshop Committee may not be supplemented from the budgets of Research Units.
- Criteria for student participation, selection and financial support should be detailed.
- Applicants must provide an indicative list of names and affiliations of the proposed speakers.
- The Workshop Committee will review applications submitted outside the closing dates at its next meeting.

19.3.2.1.2 Academic events must be coordinated between the Unit that proposes the event (and its program, content, speakers) and with the University's Conference and Workshop Section in the

Communication and Public Relations Division, which is responsible for the logistics. Questions about the details of the application process may be referred to the Vice President for Communication and Public Relations .

19.3.2.1.3 Logistical support for travel, accommodation and facilities, websites, etc. will be provided by the University's Conference and Workshop Section. Preparation and distribution of meeting materials, programs, proceedings, advertising, entertainment, etc. is the responsibility of the organizers.

19.3.2.1.4 Disbursements associated with the organization and running of Academic Events (including travel for guests and other hospitality) must be approved by the office of the Vice President for Financial Management.

19.3.2.2 University Non-Academic Events

Events such as Open Campus, Inaugurations, Public Lectures, Concerts, and Exhibitions are organized with guidance from the office of the Vice President for Communication and Public Relations [link: 16].

19.3.2.2.1 The Colloquium Committee is responsible for establishing an annual program of colloquia that would normally be scientific in nature but not necessarily directly relevant to the research activities of the University.

19.3.2.2.2 The Culture Committee is responsible for establishing an annual program of cultural events, exhibitions, concerts, and public talks.

19.3.2.3 Externally Funded/Organized Non-Academic Events

(NOTE: Externally funded *Academic Events* must be referred to the office of the Vice President for Communication and Public Relations) Conference facilities and other venues of the University may be used for Events organized and/or funded by groups external to the University (External Events), including non-profit organizations and commercial enterprises. Although External Events need not be directly relevant to the scientific or educational programs of the University, they should be consistent with the University's goals of fostering outstanding international research in science and technology,

encouraging multidisciplinary research, training students and young scientists, or fostering self-sustaining development in Okinawa. Additional details may be obtained through the office of the Vice President for Communication and Public Relations [link: 2.4.5].

19.3.2.3.1 Applications for use of University facilities must be submitted to the Workshop Committee (Chapter 19.3.2.1.1 [link 19: 3.2.1.1]).

19.3.2.3.2 University-sponsored Events in general will take precedence over External Events in scheduling and use of facilities and resources.

19.3.2.3.3 All External Events must be open to members of the University community.

19.3.2.3.4 Unless by unusual exception, no fee for the use of the University facilities for externally organized and/or funded Events will be charged; however, the Events must be cost neutral to the University.

19.3.2.4 **Public Use of University "Common Spaces"**

Members of the public are encouraged to visit the University campus. Access is open to the entrance gallery, center court, cafeteria, restaurant space, and the village zone. Access to laboratory buildings, however, is restricted to authorized University personnel. The general public can also use the University facilities for meetings and certain other events. Please see Chapter 21 [link: 21.3] for the details of reservation.

19.3.3 **Catering and Other Special Services**

Any disbursements associated with catering and running of Conferences, Workshops and Courses (including travel for guests and other hospitality) must contact either the Procurement Section [link: 28] or Travel Expense Team of Accounting Section [link: 29] in the office of the Vice President for Financial Management, depending on the contents [link: 2.4.5].

19.3.3.1 Catering

The University will enter into an annual contract based on cost per meal with an outside caterer to supply food and beverage during

Events. This contract however is not exclusive and conference organizers are free to choose different caterers.

19.3.3.2 Accommodations
An annual contract based on cost per room will be entered into with a local hotel to provide accommodation during Events. This contract however is not exclusive and conference organizers are free to choose different hotels.

19.4 **Responsibilities**

Persons wishing to organize Academic Events must notify the office of the Vice President for Communication and Public Relations and contact the Workshop Committee Secretariat.

Persons wishing to reserve a room for non-academic purposes must use the University's online Exchange *room reservation system*.

Persons wishing to schedule a venue for an externally funded/sponsored *academic event* must contact the office of the Vice President for Communication and Public Relations.

Persons wishing to schedule a venue for an externally organized/funded event must contact the office of the Vice President for Communications and Public Relations [link: 16].

Persons, including the public, seeking to use University Buildings, Facilities, Grounds must make reservations and obtain any other approvals (Chapter 21.5.1 [link: 21.5.1]).

Personnel responsible for making reservations must contact the Community Relations Section [link: 2.5] to assure that the space is available for the time sought and that its use will not conflict with any other University activities.

The Workshop Committee Secretariat must coordinate with the office of the Vice President for Financial Management (if special expenses are involved), with the office of the Vice President for Buildings and Facilities Management (availability of venues – conflict with construction or similar activity – security issues), and with the office of the Vice President for Communications and Public Relations.

The Vice President for Communications and Public Relations is authorized to determine, on a case-by-case basis, whether requested use of areas other than

Common Spaces for a non-University purpose may be permitted.

19.5 Procedures

19.5.1 Proposals for academic conferences, workshops and courses are called for in January each year for events starting after April of the following year. Contact the Workshop Committee; details of how to submit an application to the Workshop Committee may be obtained from the office of the Vice President for Communication and Public Relations.

19.5.2 For logistical support for travel, accommodation, facilities, and websites associated with conferences, contact the University Conference and Workshop Section [link: 2.5].

19.5.3 Expenditures and disbursements related to the Event, including those for travel and hospitality, must be processed through either the Procurement Section [link: 28] or Travel Expense Team of Accounting Section [link: 29] in the office of the Vice President for Financial Management, depending on the contents.

19.5.4 Events such as Open Campus, Inaugurations, Groundbreaking Ceremonies, Public Lectures, Concerts, and Exhibitions are organized with guidance from the office of the Vice President for Communication and Public Relations [link: 16].

19.5.5 Proposals for externally organized Events must be submitted to the Workshop Committee.

19.7 Contacts

19.7.1 **Policy Owners**
the Vice President for Communication and Public Relations

19.7.2 **Other Contacts**
Community Relations Section Leader,
community-relations@oist.jp

19.8 Definitions

Authority
- Approved by the President
- Industrial Safety and Health Act
- School Health and Safety Act
- Medical Care Act

Chapter 20. Health and Wellness Program

20.1 Policy

Health is not merely the absence of disease or infirmity and good health involves physical, mental and social well-being. To achieve the mission of the OIST Graduate University (hereinafter "the University"), it is critical that students and staff members are able to study and/or work to their optimum. Ensuring and maintaining good health and wellbeing is critical to this mission. By establishing and operating the OIST Clinic, Health Center and Ganjuu Wellbeing Service (Psychology led service providing therapy, consultation & skills training to support individuals, teams and organizational wellbeing), the University aims to meet the physical & emotional needs of the OIST community. Students and staff members can access these services within work time.

20.2 Rules

20.2.1 OIST Clinic

20.2.1.1 Name of the clinic

The clinic on campus is named as OIST Clinic.

20.2.1.2 Providing medical care

OIST Clinic provides medical care which is at least equal to the level of care provided at general clinics in Japan to students, employees and their families.

20.2.1.3 Health issues

OIST Clinic's primary focus is providing an emergency response/first aid to individuals experiencing illnesses and injuries. This may involve assessing, diagnosing and treating certain illness or injuries and/or referring individuals on for further diagnostic assessments, consultations or treatments. If an illness or condition is chronic and for-instance requires continuous prescription, we would typically refer individuals to an external medical facility. However, OIST Clinic will provide care and treatment if there is a sudden aggravation of a chronic

illness/condition or if the person has difficulty using an external medical facility.

20.2.1.4 Response outside of opening hours

Outside of standard opening hours, OIST Clinic will respond to requests from individuals provided it does not hinder our regular work.

20.2.1.5 Admission facility

OIST Clinic does not have a facility to admit patients.

20.2.1.6 Confidentiality

OIST Clinic handles personal information which may come to our knowledge in the course of work with the utmost care. We do not release the information without the consent from the person unless it has a reasonable cause to do so, such as an emergency case.

20.2.2 OIST Health Center

20.2.2.1 Service

OIST Health Center provides preventive health care for all members in the OIST community (the eligibility is defined under 1.4.1 of PRP of the University).

20.2.2.2 Medical treatment availability

OIST Health Center does not provide medical treatment, however this does not apply in the case of an emergency.

20.2.2.3 Eligibility

All members of the OIST community are able to receive the services, however some services such as health checkups are only available to certain members of the OIST community

20.2.2.4 Handling personal information

OIST Health Center handles personal information which may come to our knowledge in the course of work with the utmost care. We do not release the information without the consent from the person unless it has a reasonable cause to do so, such as an emergency case.

20.2.3 Ganjuu Wellbeing Service

20.2.3.1 Purpose

Ganjuu Wellbeing Service provides services to support wellbeing of the University and the OIST community.

20.2.3.2 Services provided

Ganjuu Wellbeing Service provides the following services:

- Development and support of initiatives related to wellbeing and community
- Workshops and training related to wellbeing
- Services to teams (team building, mediation, etc.)
- Information, advice and consultation on wellbeing or interpersonal matters, and
- Psychological therapy

20.2.3.3 Medical treatment availability

Ganjuu Wellbeing Service does not provide medical treatment. Psychiatric and medical consultations can be arranged via the OIST Health Center.

20.2.3.4 Language support

Services are provided in English and Japanese. Interpreting services may be used, if available, if requested or required.

20.2.3.5 Eligibility and costs

All members of the OIST community (adults and children) are able to receive the services, for free. The cost of interpreting services will be borne by the Ganjuu Wellbeing Service, when deemed necessary by the Service.

20.2.3.6 Confidentiality

The Ganjuu Wellbeing Service keeps all personal information, confidential within the team. All clinical staff are bound by professional practice guidelines regarding confidentiality. The Ganjuu Wellbeing Service administrator has clear expectations and supervision from clinical staff at the Service regarding their responsibilities for confidentiality. Verbal or written information will not be disclosed without permission from the person it relates to (or from their parent/guardian if they are not able to provide informed consent), except in the following circumstances:

- If clinical staff believe that the individual or a third party is at risk of serious harm. In this case, confidentiality is broken in order to reduce the risk of harm by involving relevant people or services that can provide the necessary support. Wherever possible this will be discussed with the individual, first.
- If disclosure is required by Japanese law.

- Information relating to children 12 years and under will be shared routinely with parents/guardians, unless there is a child protection issue in doing so. In most cases parents or carers will need to be involved in the intervention.
- For young people, aged 13-18 years, Ganjuu Wellbeing Service will negotiate with the young person and parents/guardians to reach an agreement about feedback which is appropriate to the developmental stage of the young person, and the clinical risk involved.
- For the maintenance and improvement of therapeutic services, the management of risk, and to adhere to professional practice guidelines, information will sometimes be shared with professional external consultants. This information will not be personally identifiable. Any external consultants are also bound by professional practice guidelines pertaining to confidentiality.

20.2.3.6 Record Keeping

As part of good professional practice, the Ganjuu Wellbeing Service keeps written records to support work with individuals, families and groups. Individuals can request access to their own records which the Ganjuu Wellbeing Service holds about them, however information provided by a third party cannot be disclosed without agreement from the third party.

Case notes are kept on paper and are stored in a locked filing cabinet within a locked side room. Email communication may be printed out and kept as part of the record. Files are destroyed five years after discharge, in accordance with Japanese law for retention of medical records.

Letters and some other clinical information may be stored electronically on a secure drive with access restricted to the Ganjuu Wellbeing Service. Outlook calendar is used for appointment recording but people are referenced by number, not name, to prevent accidental breaches of confidentiality. Personal details are recorded within the individual file and basic demographic data is collated anonymously onto a database for service monitoring and improvement.

20.3 Responsibilities

20.3.1 OIST Clinic

20.3.1.1 Director of the OIST Clinic

The Dean of Research appoints a doctor as a director from the full time doctors who belong to OIST Clinic and the director has the responsibility to manage the clinic, ensure good governance procedures are in place and provide supervision where required.

20.3.1.2 Custodian of cash at OIST Clinic

The Dean of Research appoints a member of staff as the custodian of cash at OIST Clinic and the custodian takes the responsibility for cash which OIST Clinic collects from clients based on the rules which are defined in the following section (PRP 20.3.1.4).

20.3.1.3 Cashier at OIST Clinic

The custodian of cash at OIST Clinic shall be authorized to designate a Cashier at OIST Clinic from among the personnel in the OIST Clinic and mandate the personnel to engage in managing the accounting and managing the cash which OIST Clinic collects.

20.3.1.4 Fee for medical care

OIST Clinic charges clients fees for medical care after the treatment, based on the price list which is decided by the President of the University (in consultation with relevant parties) (Link: Regulations of Medical Fees in OIST Clinic). Clients who have received medical care at the OIST Clinic have a responsibility to pay the fee for the medical care provided in cash (Japanese yen only) to the OIST Clinic in a timely manner.

20.3.2 OIST Health Center

20.3.2.1 OIST Health Center

OIST Health Center has responsibility to plan and manage the health checkups which is defined in Industrial Safety and Health Act and School Health and Safety Act.

20.3.2.2 Students and Employees

Students and employees have responsibilities to take health checkups which are defined in Industrial Safety and Health Act.

20.3.3 Ganjuu Wellbeing Service

20.3.3.1 Ganjuu Wellbeing Service

Ganjuu Wellbeing Service complies with Japanese law, University rules and procedures and the professional practice guidelines of the professional bodies with which clinical staff are registered. The clinical psychologist(s) ,who are appointed by the President to supervise staff

of the Ganjuu Wellbeing Service, have the responsibility to ensure good governance procedures are in place and provide supervision as required.

20.4 Procedures

20.4.1 OIST Clinic

20.4.1.1 Opening hours

OIST Clinic open weekdays from 9:30-11:30 a.m. (Monday to Friday), and from 13:30-15:30 p.m. on Mondays, Wednesdays and Fridays, please note this may change depending on staff schedules.
OIST Clinic is closed on weekends and holidays.

20.4.1.2 Appointments

To minimize waiting times, individuals are encouraged to make an appointment before coming to the clinic (TEL: 098-982-3446 or clinic.appointment@oist.jp). However, this does not apply to the emergency cases.

20.4.1.3 Fees for medical care

OIST Clinic uses a private practice charging system (health insurance does not apply to the system). The President of the University, in consultation with relevant parties will decide on what are reasonable fees (Link: Regulations of Medical Fees in OIST Clinic).

20.4.1.4 Location

OIST Clinic provides medical care in B234 of Center Building. However, this does not apply to the emergency cases.

20.4.1.5 Referral to external medical facilities

OIST Clinic will refer to specialists, hospitals, and/or medical facilities which provides critical care if necessary.

20.4.2 OIST Health Center

20.4.2.1 Opening hours

OIST Health Center opens from 9:30-17:00 on weekdays, and is closed on weekends and holidays. However, this does not apply during times when the University is holding an event.

20.4.2.2 Location

OIST Health Center provides services in B236 of Center Building. However, services may be provided elsewhere during special events held by the University.

20.4.3 Ganjuu Wellbeing Service

20.4.3.1 Opening hours

Ganjuu Wellbeing Service opens from 9:00-17:30 on weekdays, and is closed on weekends and holidays. There is no out of hours service. Occasional services (for example workshops) may be provided at evenings or weekends at the discretion of the Ganjuu Wellbeing Service staff.

20.4.3.2 Appointments

Appointments can be made by contacting the Ganjuu Wellbeing Service by telephone, email, in person or by posting a request form (available from the Ganjuu Wellbeing Service website) into our letter box. Services can be provided without appointment within working hours, but this is subject to availability of clinical staff.

20.4.3.2 Location

Ganjuu Wellbeing Service is located at 128 West Court.

20.5 Forms

20.5.1 Ganjuu Wellbeing Service request form

[Link to website]
https://groups.oist.jp/sites/default/files/imce/u1479/Event/New%20Ganjuu%20Form%20Jun15.pdf

20.6 Contacts

20.6.1 Policy Owner

The President

20.6.2 Other contacts

OIST Clinic
OIST Health Center
Ganjuu Wellbeing Service

20.7 Definitions

20.7.1 OIST Clinic

20.7.1.1 Chronic illnesses

Diseases which require long term continuous treatment such as hypertension, diabetes, mellitus or dyslipidemia.

20.7.1.2 Employees

Permanent, fixed-term and part-time employees hired by the University. Temporary staff dispatched from an agency under an hourly-fee contract, contractor or vendor employees are not included.

20.7.1.3 Students

Those who study in the University approved by the Graduate School Office, stipulated in PRP 5.5.1 and 5.5.2.

20.7.1.4 Family

Spouse, parent or child of the employee and/or student, or the person in the similar relationship above.

20.7.2 Ganjuu Wellbeing Service

20.7.2.1 OIST community

Full-time and part-time employees, students and immediate family members. Temporary staff whose work at OIST is identical to directly employed staff are included. Vendors and temporary staff whose place of work can be changed by their employing agency are not included.

20.7.2.2 At risk of serious harm

Imminent risk of death or significant injury to self or another; reports of or risk of abuse or neglect to a child.

20.7.2.3 Immediate family members

Spouse/partner and children who are living in the same household. Exceptions may be made if the nature of a relationship is significant in providing support to an employee or student (for example, separated spouses/partners who share care for children, or parents who are admitted on a visa to provide child-care). This is at the discretion of the Ganjuu Wellbeing Service.

Chapter 21. Use of University Resources

21.1 Policy

University resources [link: 21.8.1] must be reserved for University purposes and for those activities that further its education, research, and socio-economic missions. University purposes include contributing to the physical and cultural development of University students, faculty, staff and the greater Okinawan community as well as stimulating the intellectual lives and personal development of University students, faculty, staff, and the broader community.

21.2 General Considerations

21.2.1 University property and facilities are valuable public assets, such that the University's Common Spaces will be made available to the public as well as to University personnel to serve broader community purposes.

21.2.2 University resources may never be used for personal gain as a general rule. However, use of Common Spaces and University Vehicles for Non-University Purpose may be permitted pursuant to the PRP 21.3.1.1 (for Common Spaces) and PRP 21.3.3.1 (for University Vehicles).

21.2.3 University resources may not be used by external persons (either individuals or corporations) except for use by visitors whose acceptance has been approved by the University. However, the use by external persons may be permitted if the external person agrees to pay the appropriate price and if the President/CEO (Vice President for Buildings and Facility Management or Vice President for Communication and Public Relations in the case of University's Common Spaces; Dean of Research in the case of University's Research Facilities and Related Services) authorizes the use in advance. Apart from the above, the use by external persons may also be permitted on a contract basis if the purpose of the use is to provide welfare programs to University students, faculty and staff members or to entrust the work of the University.

21.2.4 University may charge internal and external users for the partial use of the University's buildings or use of the University's research facilities, vehicles or services. The usage charge for a part of the University's buildings, vehicles and services as well as the "appropriate price" pursuant to the Article 21.2.3 of the PRP are stipulated separately.

The usage fee for University's Research Facilities and the Related Services are provided by the procedure stipulated in Article 21.3.7 of the PRP.

21.3 Rules

21.3.1 Buildings, Facilities, Land

The University is required to maximize the efficient and effective use of University property and facilities in order to provide appropriate, high quality, sustainable and sufficient space and infrastructure for University purposes and programs. See also Chapter 10, Land, Buildings and Facilities [link: 10].

21.3.1.1 Use of Common Spaces for Non-University Purposes.

The University wishes to be a venue for activities of local communities, staff, students, and their friends and family members. The University will make available Common Spaces for meetings, artistic activities, conferences and workshops, cultural clubs, and other purposes not related to University operations. Such use must be made through and coordinated with the Conference and Workshop Section [link: 19] of the Division of Communication and Public Relations to ensure there is no conflict with scheduled University activities. With regard to use of University Common Spaces, the University's requirements have priority and take precedence.

21.3.1.1.1 The University's Common Spaces are:

On the Main Campus

- -Café (Outside operating hours)
- -Space for a restaurant
- -Center Court
- -Main Entrance Gallery
- -Meeting and Seminar rooms:
  - Seminar room B250
  - Seminar room C209
  - Seminar room C210
- -Conference Center:
  - Auditorium
  - Meeting room 1
  - Meeting room 2
  - Meeting room 3
  - Meeting room 4

At Seaside House

- -Chura Hall

-Meeting and Seminar rooms:

Seminar room
Meeting room 1
Meeting room 2

21.3.1.1.2 Use of University Common Spaces, and of other areas as may be determined on a case-by-case basis, for non-University purposes may be permitted under the following conditions:

21.3.1.1.2.1 The Common Space or other area (chapter 21.4.1.3 [link: 21.4.1.3]) is available and not being used for a University purpose or program; and

21.3.1.1.2.2 Reservations have been made and an agreement regarding use has been developed (Chapter 21.5.1 [link: 21.5.1]) between the University and the individual or non-University entity.

21.3.1.1.3 Restrictions on Use

- Smoking is permitted only at a designated smoking area near the Central Control Room.
- Posters, flyers and other such materials must only be placed on the noticeboards provided. No such materials may be attached to walls, doors, windows or any other part of the buildings, including the elevators.
- Waste must be disposed of in designated boxes in the appropriate manner.
- Alteration to the facilities, equipment, furnishings, etc. is not permitted unless authorized in writing in advance.
    - facilities must be returned to their original condition after use.
- Users will be liable for any damage or loss caused by their use.
    - The contact person [link: 21.4.1] will be held responsible for all damage or loss

21.3.1.1.4 Prohibited uses and activities

- Commercial use or for-profit activities (this does not include fundraising such as bake sales and rummage sales by voluntary non-profit groups and associations)
- Political activities
- Uses that are offensive to public order and morals

- Uses that may disturb or interfere with University activities (noise, vibrations, and the like)

21.3.1.1.5 Permission to use Common Spaces may be revoked by the University at any time, up to and including the date of the reserved use.

21.3.1.2 Accommodation

Please refer to the following procedures regarding the rules for accommodations of the university.

- Accommodation Procedure for Short-term Lodging in Campus Housing [link:]

21.3.2 **Equipment, Information Technology, Shops and Services**

The education and research operations of the University involve machinery and machine shops, a vast assortment of research tools and scientific equipment, cranes and hoists, as well as workshops, work benches, and assorted hand tools. In addition to this hardware, the University utilizes computers, networks and electronic information systems as well as copiers and other peripherals, facsimile machines and other office equipment. All of these resources are essential to the University's mission [link: 1.2]. All of these resources are reserved for University purposes and business, and are to be used and managed responsibly to ensure their integrity, security, and availability for appropriate educational and business activities. All authorized users of these resources are required to use them in an effective, efficient, safe [link: 13] and responsible manner.

The University grants members of the University community shared access to these resources in support of accomplishing the University's mission. Incidental personal use is permitted if reasonable in light of the user's duties and responsibilities. In no case may University equipment or services be used for private inurement or other personal gain. Use of University computing to store personal data, information, or messages is not permitted.

21.3.3 **University Vehicles**

Faculty, staff, students and persons who are invited by the University and whose use of vehicle is approved by the University may use University owned, leased or rented vehicles only for University business as a general rule. However, considering the situation such as public transportation around the University and the effective use of University resources, it may be acceptable for persons above who do not have their own vehicle to use University Vehicles for non-University purposes,

provided University Vehicles are available. University Vehicles must be operated and driven in a safe and responsible manner, with awareness that the user is acting as a representative of the University. Smoking is not allowed in University Vehicles. Unsafe driving may result in withdrawal of the privilege of driving University Vehicles, in addition to other disciplinary action, up to and including termination of employment.
All accidents involving University Vehicles must be formally reported (Chapter 21.3.3.3[link: 21.3.3.3]).

21.3.3.1 Criteria for Permitting Use of University Vehicle.
Authorization to use a University Vehicle may be granted by the Facility Management Section only if the applicant has a current, valid driver's license recognized in Japan, and the applicant states a University purpose justifying such use as a general rule. However, it may be acceptable for persons above who do not have their own vehicle to use University Vehicles for non-University purposes, provided University Vehicles are available.

21.3.3.1.1 Visiting Faculty. Visiting faculty members are not allowed to use University Vehicles for any use other than official University business as a general rule. However, it may be acceptable for persons above who do not have their own vehicle to use University Vehicles for non-University purposes, provided University Vehicles are available.

21.3.3.2 Use of Personal Vehicle for University Business
The University may authorize drivers to use a personal or other private vehicle for official University business. Employees who are authorized drivers will be reimbursed by the University for University business related expenses provided the following conditions are met:

21.3.3.2.1 The driver must be prepared to provide proof of personal automobile insurance for the vehicle.

21.3.3.2.2 The vehicle's personal auto insurance provides primary insurance as follows:

1) Body injury liability insurance: unlimited
2) Property damage liability insurance: JPY10M or more/per accident
3) Passengers' personal accident insurance: JPY10M or more/ per person

21.3.3.2.3 The driver is responsible for the personal auto insurance deductible(s).

21.3.3.2.4 A University accident report (Chapter 21.3.3.3 [link: 21.3.3.3]) must be filed if there are personal injuries to anyone involved in the accident or if non-University property is damaged, other than the driver's vehicle.

21.3.3.3 Accident Reports

Drivers must complete a University Vehicle Accident Report to report any instance of vehicle damage, including vandalism.

University insurance cannot process either liability or physical damage claims without a completed Accident Report. The report must be completed within ten working days of the occurrence.

Accident Reports that do not specify the date, time, location and driver will be denied.

- Physical damage losses will not be reimbursed if the Accident Report is not on file within 10 days of the occurrence.
- Physical damage losses will not be reimbursed if the damage is not repaired within 60 days of the occurrence.
- Liability and physical damage losses will be charged to the driver's division/unit if no accident report is filed.

21.3.3.3.1 Accident Resulting in Personal Injury or Death

Accidents in which there is a personal injury or death are to be reported immediately to local law enforcement.

Drivers of a University Vehicle involved in an accident involving bodily injuries must first and foremost see that any one injured in the accident gets all necessary medical attention.

- Drivers must remain at the scene of the accident until authorized to leave by the police. To leave the scene of the accident is a crime.
- Drivers should notify their supervisor or manager (for staff), Dean of the Graduate School or relevant Faculty member (for students) of the accident as soon as possible.
- Drivers of a University Vehicle involved in an accident must report the accident to the Facility Management Section as soon as possible.

21.3.3.3.2 Reporting Non-Injury Accidents

Accidents in which there is no injury are also to be reported immediately to local law enforcement. Within two working days of a non-injury accident, drivers of a University Vehicle must complete a University Vehicle Accident Report. Care and diligence is to be exercised to obtain accurate information on driver, passenger and witness names, facts, and circumstances of the accident.

21.3.4 **Personal Long-Distance Telephone Calls**

University telephones (landlines and cell phones) may not be used for personal long distance calls, unless charged to an individual's residential telephone or personal credit card. In addition, charges for personal calls from an off-campus phone through the operator to any University number or credit card are not allowed.

The IT Division is responsible for monitoring the charges being made to University phones. If any person causes an improper charge, the University will collect the amount and deposit it in the account from which the bill is to be paid. The supervisor, manager or the Dean of the Graduate School (for students) is expected to take appropriate action to see that the infraction is not repeated.

21.3.5 **University Inter Office Courier, External Mail and Related Services**

University mail, courier, and printing/copying services may not be used by employees and students for personal mail, copying, printing or related services.

21.3.6 **Gymnasium**

A Gymnasium facility has been established for use by Students of the University. This gymnasium can be used by the University's faculty and staff as well as family members in the same household to promote health, in exchange for a stipulated fee. For details, please refer to "Rules for use of the OIST Graduate University Gymnasium"[link:].

21.3.7 **Internal Cost Management Committee**

The President shall decide which research facilities and services will be charged and the usage fee chargeable, after receiving proposals from the Internal Cost Management Committee [link:], based on suggestions from the Section with jurisdiction over the applicable research facility or service.

21.4 **Responsibilities.**

21.4.1 **Persons Seeking to Use University Resources**

Persons seeking to use University buildings and facilities must make reservations and obtain any other approvals (Chapter 21.5.1 [link: 21.5.1]).

21.4.1.1 The President or delegate shall maintain administrative policies and procedures to implement this policy, define permissible uses, set contracting guidelines, ensure appropriate property and facility management, and establish scheduling priority of University property and facility use.

21.4.1.2 Personnel responsible for making reservations must contact the Conference and Workshop Section [link: 19] as well as the Facility Management Section of the Division of the Vice President for Buildings and Facility Management [link: 10], to ensure that the space is available for the time sought and that its use will not conflict with any other University activities.

21.4.1.3 The Vice President for Communication and Public Relations is authorized to determine, on a case-by-case basis, whether requested use of areas other than Common Spaces for a non-University purpose may be permitted.

21.4.1.4 As for the External Use of Research Facilities and Services, please contact the Open Technology Center.

21.4.2 **Prospective Drivers**

University Vehicle drivers must have a valid, current driver's license recognized in Japan.

21.4.3 **Persons Seeking to Lease/Rent Vehicles for University business**

Persons seeking to lease/rent vehicles for University business must obtain approval of the division/unit to which he/she belongs; if the applicant is also seeking to operate such vehicles, she/he must have a valid current driver's license recognized in Japan.

21.4.4 **Authorizers of University Vehicle Use**

The Facility Management Section must authorize use of University Vehicles in writing and must ensure that applicants for use of University Vehicles have a current valid driver's license recognized in Japan.

21.4.5 **Drivers of University Vehicles**

Drivers of University Vehicles must operate those vehicles responsibly,

safely, and in compliance of all Japanese laws applicable to the operation of motor vehicles.

21.4.6 Drivers of University Vehicles Involved Accidents/Collisions

Drivers of University Vehicles involved accidents/collisions must timely complete an Accident Report (Chapter 21.3.3.3 [link: 21.3.3.3]).

21.4.7 IT Division

The IT Division must maintain records of use of telephone and computer and report to the user's supervisors (or the Dean of the Graduate School for students) any instances unusual or inappropriate use.

21.5 Procedures

21.5.1 Reserving Use of University Common Space

Reservations must be made at least 10 days prior to the desired day of use by using the University's online Exchange room reservation system. Note: Reservation of Conference Center and certain other spaces can only be made by the Conference and Workshop Section. Requests for reservations should be made to this Section.

21.5.2 Authorization to operate a University Vehicle

To obtain authorization to operate a University Vehicle, complete and submit a Form, **Terms of Use Agreement** [link: 21.6.1] to designated person of the Facility Management Section in accordance with the following procedures.

- Procedure for Use of University Vehicle [link:]

21.5.3 Report of vehicular accident

To report a vehicular accident, complete and submit a Form, **University Accident Report** [link: 21.6.2], to designated person of the Facility Management Section.

21.5.4 Reservation for accommodations

Please refer to the following procedures for reservation of accommodations.

- Accommodation Procedure for Short-term Lodging in Campus Housing [link:]

21.5.5 External Use of Research Facilities and Services

Please refer to PRP 4.13 "External Use of Research Facilities and Services" [link:] for procedures and other related matters.

21.6 Forms

21.6.1 Terms of Use Agreement (to Operate a University Vehicle)

Terms of Use Agreement [link:]

21.6.2 University Accident Report

University Accident Report [link:]

21.7 Contacts

21.7.1 Policy Owners

Vice President for Buildings and Facility Management
Vice President for Communications and Public Relations
Dean of Research

21.7.2 Other Contacts

Facility Management Section
Conference and Workshop Section
IT Division
Open Technology Center
Accounting Section

21.8 Definitions

21.8.1 University resources

University resources includes all University property, buildings, facilities, and land, as well as the University's voice and data communications systems and devices, information technology and software, networking services, electronic communications forums, the University's equipment (including but not limited to vehicles, computers and peripherals, research tools and instruments, appliances, machinery, machine shops, and furniture), and the University's procurement tools, such as purchasing cards and petty cash.

Additionally, the time and effort of staff, students, and others carrying out transactions on behalf of the University are considered "University Resources."

Authority: Approved by the President

Chapter 22 Avoiding Conflicts of Interest and Commitment

22.1 **Policy**.
In addition to their duties as faculty, academic and administrative staff, and the University Officers and other Senior Level Executives (collectively referred to as "employees" in this chapter) of OIST Graduate University (hereinafter "the University") often serve on external committees, commissions, panels, and boards of directors. The more entrepreneurial among them engage in private consulting or other business activity. University employees also support a variety of social, community, and political causes. Moreover, in the course of their official duties, employees develop relationships with vendors, research sponsors, donors, and others who contribute to or support the University.

It is the policy of the University to encourage all of these endeavors and relationships. However, care must be taken to ensure that none gives rise to conflicts of commitment or interest. The matters covered in this policy are of great importance to the University. Each member of the University community has a responsibility to avoid and prevent conflicts of interest and to take steps to avoid even the appearance of impropriety.

Responsibility for review and ultimate resolution of conflict of interest matters is vested in the Chief Compliance Officer (hereinafter "CCO); a four-person panel, comprised of University General Counsel, CCO, and two faculty members appointed by the Dean of Faculty Affairs.(known as the "Conflict of Interest Review Panel") will assess the facts and report their findings and recommendation to the Chief Operating Officer (hereinafter "COO") for decision. As a general rule, conflicts of interest determinations are based on what potential outcomes are made possible by the situation, rather than on the character, intent, or actions of the employee. However, a finding that an employee willfully ignored or intentionally violated the policies and rules of Chapter 22 requires that the employee be subjected to disciplinary action including significant sanction or possible termination of employment. See also Misconduct & Whistleblower Protection [link: 23].

The following policies (and related **rules** [link: 22.3] and **procedures** [link: 22.5]) should guide all University employees as they carry out their work at the University.

22.1.1 **Conflict of Commitment**

Because faculty and other University employees owe a duty of primary commitment to the University and its missions, it is the policy of the University that the external activities and engagements of employees may not demand so much of their time, effort, or attention that their ability to satisfy their obligations to the University is adversely affected. (Chapter 22.8.1[link: 22.8.1])

22.1.2 **Institutional Conflict of Interest**

University research, teaching, outreach, and other activities must not be compromised or be perceived as biased by institutional relationships with external entities. The existence (or appearance) of such conflicts can lead to actual bias, or suspicion about possible bias, in the review or conduct of the University's business activities. It is the policy of the University that situations that may give rise to such conflicts be disclosed, evaluated, and discontinued if a conflict interest or commitment is present. This is necessary to prevent decisions, choices or actions that are incongruent with the missions, obligations, or values of the University. (Chapter 22.8.5[link: 22.8.5])

22.1.3 **Individual Conflict of Interest**

When there is a divergence between an individual's private interests and his or her professional obligations to the University, such that an independent observer might reasonably question whether the individual's professional actions or decisions are determined by considerations of personal gain, financial or otherwise, an Individual Conflict of Interest arises. It is the policy of the University that situations that might create conflicts be disclosed to and evaluated by the appropriate office as soon as they are known. If an actual or perceived conflict of interest or commitment is found, the relationship or activity must be discontinued. (Chapter 22.8.4[link: 22.8.4])

22.1.3.1 Employing Related Parties

It is the policy of the University to seek for its faculty the best possible teachers and scholars who are judged to be so in an international search preceding each appointment (Chapter 3 [link: 3]). Similarly, it is the policy of the University for its academic and administrative staff the best qualified persons for the position through competitive selection process (Chapter 31.3.2 [link: 31.3.2]). There are no bars to the appointment of "related parties" [link: 22.8.6], such as immediate family members, business partners, and close personal friends, to any University position, so long as each meets the relevant standard

for appointment. However, no faculty member, or any other University employee shall vote, make recommendations, or in any other way participate in the decision of any matter which may directly affect the appointment, reappointment, tenure (for a faculty member), promotion, salary, or other status or interest of a related party, nor shall he or she supervise a related party.

22.1.3.2 Doing Business with Related Parties
University employees must not conduct University business with related parties [link: 22.8.6] such as immediate family members, business partners, and close personal friends. University employees must not conduct University business with an entity in which a related party has a significant interest. University employees must not lease or purchase, on behalf of the University, real property in which a related party holds an ownership interest.

22.1.3.3 Individual Conflict of Interest Concerning Student Admission
Faculty members who involve in student admission may have a conflict of interest. The policy, rules and procedures for such cases are provided by the Chapter 5, Graduate School Handbook (Chapter 5.13.1.6 [link: 5.13.1]).

22.1.4 **Consulting and Other Business, Commercial or Financial Relationships**

The University believes that it is good and useful for faculty and other professional employees to deploy their expertise through entrepreneurial activity, such as providing consulting or other services to individuals, business entities, other universities, and the community. However, employees must be alert to the fact that implicit in activities of a commercial nature are conflicts of interest arising from access to confidential information (the University's and the commercial entity's) and the possible ability to influence pertinent decisions of either entity. It is the policy of the University that such situations be disclosed to and evaluated by the appropriate office as soon as they are known. If an actual or perceived conflict of interest or commitment is found, the relationship or activity must be discontinued.

22.1.4.1 Employees may not engage in any outside business if it interferes with their responsibilities to the University. Faculty are generally granted leave to pursue such outside work (Chapter 3 [link: 3]). Other employees are required to pursue such work outside their normal working hours or by using

accrued leave/vacation (Chapter 33 [link: 33]) with prior approval in accordance with OIST Rules for External Professional Activities [link:].

22.1.5 External Professional Activities

It is the policy of the University to encourage its employees to contribute to society at large by serving on committees, commissions, advisory boards, boards of directors, task forces and other similar associations. It is also the policy of the University to require disclosure of, and to review, all such external engagements in order to detect and avoid potential conflicts of commitment or interest and other similar concerns, including the involvement of University resources[link: 21] in otherwise personal activities.

22.1.6 Political Activity

Although the University encourages its employees at all levels to participate in the full spectrum of permissible political activities, both locally and nationally, it is University policy that no University endorsement may be implied or asserted by its employees when so doing (Chapter 15 [link: 15]). Similarly, it is the policy of the University to forbid use of University resources, including their paid work time or the paid work time of other University employees, to support personal political activity (Chapter 21 [link: 21]). Attention must be given also to the Policy on Conflict of Commitment [link: 22.1.1] to ensure that outside political activity does not demand so much of an employee's time, effort, or attention that their ability to satisfy their obligations to the University is adversely affected.

22.1.6.1 Permissible Political Activities

Campaigning for Public Office. Although prior approval is not required, it is the policy of the University that its employees contemplating candidacy for elective political office or appointment to public office should contact their responsible administrator/supervisor to discuss potential conflicts and work impact.

22.1.6.2 Prohibited & Restricted Political Activities

It is the policy of the University that its University Officers, Senior Level Executives and other employees do not influence inappropriately any decisions by national and local government officials, and that its University Officers, Senior Level Executives and other employees refrain from conduct creating even an appearance of trying to influence inappropriately any decisions by national and local government officials.

22.2 Examples of Conflicts of Interest

It is essential that all University employees recognize, disclose, and avoid all conflicts of interest and commitment. Although the variations are endless, here are examples of how conflicts of interest may arise:

22.2.1 Major Gifts from Commercial Sponsors.

Significant gifts [link: 22.8.3] to the University from a commercial sponsor of research may raise questions about the influence of the company on the University's research programs and how they are managed. Other similar concerns arise when individual companies sponsor research or provide significant consulting income to a significant number of faculty members.

22.2.1.1 Gifts, or promise of gifts, in exchange for favorable terms on a technology license, or first look at IP create a conflict of interest.

22.2.1.2 Alumni venture funds that provide for a portion of revenue to be "contributed" to the University must be carefully scrutinized for creating conflict of interest conditions – whether real or perceived.

22.2.2 Procurement of Goods and Services from Entities in which the University has a Financial Interest.

Purchasing goods and services from entities that sponsor research at the University, or who are licensees of University technology, or who make significant contributions to University activities and endeavors, can sometimes give rise to a conflict of interest situation; these should be carefully scrutinized and evaluated; if it is determined to proceed, a written justification should be obtained.

22.2.3 Acceptance of Gifts & Favors from Others

Those doing business with the University, or wishing to do business with the University, may offer gifts [link: 22.8.3] (any item of personal benefit to the recipient) to University employees. These may range from the offer of a box of candy to paying for the employee's dinner to an all-expenses-paid trip to a resort (to give a "talk"). Exorbitant honoraria, extremely generous speaker's fees, luxury travel and accommodations, gifts of expensive equipment, or other lavish treatment may be offered by research sponsors and by vendors, and the items offered are often characterized as "in support of" the employee's University activities. All such favors create impermissible conflicts of interest.

However, we may accept "promotional goods or commemoratives to be widely distributed" such as pocket tissues, calendar, memo-booklet,

ballpoint pen free sample of research materials which are deemed reasonable under normal social conventions.

22.2.3.1 You may accept gifts & favors of not more than 5,000 yen from universities or institutions which you do not have any conflict of interests with, without filing a report; however, if you accept gifts & favors from universities or institutions that exceed 5,000 yen, you must submit a Report of Gifts & Favors [link:] to CCO.

22.2.4 **Financial Interests Related to Licensing of University Technology.**

The University has an active program to license its inventions to commercial entities (Chapter 14 [link: 14]). Under these licenses the University typically acquires a Financial Interest in successfully developed products and, sometimes, in the developing entity itself. These Financial Interests can be of concern when they may appear to influence decisions about the conduct of research, teaching or other activities. For example, even where individual investigators do not have a personal stake, knowledge that the University stands to gain financially from successful development of a licensed technology can influence the direction of related research, the objectivity of research, the dissemination of results and the allocation of University resources among competing projects. The potential for conflict increases where the licensee sponsors research at the University. In such situations, the University's Financial Interests under the license may appear to affect decisions concerning the terms or conduct of the sponsored research.

22.2.4.1 Equity Interests in Start-up Companies. In licenses to start-up companies the University may accept equity in lieu of licensing fees or in exchange for reduced royalties. From a financial viewpoint, the potential gain from holding equity may far exceed the potential return from a royalty-only license. The potential for significant gain, and the possibility that it may be realized long before any product comes to market, increases the possibility that such an equity interest may influence or may appear to influence University decisions about research that could affect the value of the University's equity position. Such arrangements must be fully disclosed and must be carefully scrutinized to ensure that research decisions are not influenced by the University's potential for realizing financial gain.

22.2.4.2 University employees hired specifically to encourage faculty start-ups (for example, to seek broker financial

relationships with fledgling enterprises) create special exposure for universities and the perception of Institutional Conflicts of Interest. It is critical that these activities be reported and assiduously monitored to prevent conflicts of interest.

22.2.5 **Master Agreements with a Commercial Sponsor**.
Based on known research strengths, private sector entities may offer long-term funding support for research conducted within specific disciplines. This type of support, often governed by a master agreement, may attempt to give special preferences to the sponsoring entity. Such agreements must be carefully reviewed by those not involved in the carrying out of the agreement in order to prevent any inappropriate preference or other conflict of interest.

22.2.6 **Advisory Committees and Collaborative Arrangements with Commercial Entities.**
Participation in collaborative agreements, advisory committees, research review panels and similar associations often provides special access to research results. These arrangements, and the contracts or agreements that support them, must be scrutinized to ensure that they do not include provisions that will give rise to, or create the appearance of, conflicts.

22.2.7 **Research Involving the Use of Human Subjects.**
The University has special responsibilities to participants in human subjects research and must ensure that its financial relationships do not compromise its primary obligations to them. For this reason, the research must be subjected to close scrutiny to prevent even the appearance of a conflict of interest. Please refer to Chapter 13 [link: 13.3.12] for other matters concerning research involving the use of human subjects.

22.2.8 **Access to Closely-Held Information.**
University Senior Level Executives and University Officers, members of the Boards of Councilors and Governors, and other University employees, in the course of meeting their obligations and duties to the University, may get early knowledge of new technologies and other significant developments. Some of these same members may hold a management role or board seat on companies' Board of Directors that are looking to contribute to major developments, to license technology, or to sponsor research at the University. Use of such information for private inurement gives rise to ethical questions and a conflict of interest. Use for personal purposes of information received as an employee of the University is forbidden.

22.3 Rules

All those working for, or on behalf of, the University must conduct their affairs so as to avoid conflicts of commitment and interest, or even the appearance of such conflicts.

22.3.1 **Annual Disclosure**

To facilitate evaluation of situations that may give rise to conflicts of interest, formal written disclosure [link: 22.5.1] of external activities and commitments is required of all full-time University employees each year. All full-time University employees must timely complete and submit an annual "Conflicts of Interest Disclosure Form for External Activities" [link: 22.6] to the CCO.

22.3.2 **Immediate Disclosure Requirement.** If a situation raising questions of conflict of commitment or interest arises after submission of the annual disclosure, those involved must immediately bring the situation to the attention of designated personnel in the Compliance Section (University Officers and Senior Level Executives), the Faculty Affairs Office (faculty and academic staff), or Compliance Section (other employees).

22.3.3 **Additional Special Disclosures Required of Faculty and Academic Staff**

22.3.3.1 Faculty and Academic Staff must foster the open and timely exchange of results of scholarly activities, informing students and colleagues about outside obligations that might influence the free exchange of scholarly information.

22.3.3.2 Faculty and Academic Staff must disclose on a timely basis the creation or discovery of all potentially patentable inventions created or discovered in the course of their University activities or with more than incidental use of University resources. Ownership of such inventions must be assigned to the University regardless of the source of funding. The inventor must share in royalties earned.

22.3.3.3 In addition to disclosure to the Faculty Affairs Office, Faculty and Academic Staff must disclose in writing to their supervisor, or to the principal investigator on their research, whether they (or Related Parties [link: 22.8.6]) have consulting arrangements, significant Financial Interests, or employment in an outside entity which provides funding to the University or is

involved in procurement or technology licensing relationships with the University.

22.3.3.4 In any situations in which the objectivity of an Academic Staff or faculty member could reasonably be questioned as subject to a Conflict of Interest, the affected employee must contact the Faculty Affairs Office for review and determination of appropriate actions.

22.3.4 **Political Activity**

University employees may not use the University's names or marks (Chapter 15 [link: 15]), must not imply University endorsement, and may not use any University resources in political activity or in individual campaigns for office or in political literature. Employees campaigning or fundraising for or holding public office must comply with University policies regarding use of University resources [link: 21.1] (equipment, services, facilities, property, and their or other employees' paid work time).

22.3.4.1 Campaigning for Public Office. Discussion with a supervisor is required if the duties of a campaign or the holding of an office would seriously interfere or conflict with the fulfillment of the employee's University responsibilities, including hours of work. The discussion should focus on (1) the degree to which the individual would be absent from work and/or the activities related to the employee's candidacy would interfere with the performance of his or their regular duties; (2) whether temporary suspension of some portion of the employee's responsibilities can be reasonably accommodated without imposing a significant resource burden on the employee's division/office or research unit; and (3) how the absence might be most effectively accommodated.

22.3.5 **Related Parties**

22.3.5.1 University employees may not vote, make recommendations, or in any other way participate in the decision of any matter which may directly affect the appointment, reappointment, tenure (for a faculty member), promotion, salary, or other status or interest of related parties [link: 22.8.6] and may not supervise related parties.

22.3.5.2 University employees may not conduct University business with vendors owned or operated by a related party [link: 22.8.6] .

22.3.5.3 University employees may not conduct University business with an entity in which a significant interest is held or owned by a related party [link: 22.8.6] .

22.3.5.4 The University may not lease or purchase real property owned by a University employee or by a member of that employee's related party [link: 22.8.6] .

22.3.6 **Gratuities and Favors**

University employees may not accept gifts, trips, meals, or other similar blandishments and inducements from those doing business, or wishing to do business, with the University at any level and to any degree. This prohibition affects sponsors of research as well as vendors.

22.3.7 **Purchases from Entities in which the University has a Financial Interest**

Review by and advance approval from the Vice President for Financial Management is required for procurement of goods and services from entities that sponsor research at the University, that are licensees of University technology, or who are major contributors to University activities.

22.3.8 **I.P. Licensing, Master Agreements for Sponsored Research, Research Collaboration with Commercial Entities**

Review for conflicts of interest by University General Counsel is required before entering into I.P. licensing agreements, master agreements with commercial sponsors, or any other agreements providing special access to research (advisory panels, collaboration agreements, review by external committees, and similar research-related arrangements).

22.3.9 **Confidential, Business-Confidential & Closely-held (Inside) Information**

It is forbidden to use confidential, business-confidential and closely-held or similar inside information received as an employee of the University for personal purposes.

22.4 Responsibilities

22.4.1 All employees

All employees must observe the policies set out at 22.1[link: 22.1] and comply with all the rules set out at 22.3[link: 22.3];

22.4.1.1 All full-time University employees must complete and submit a Conflict of Interest Disclosure Form for External Activities annually; and

22.4.1.2 All full-time University employees with a new conflict must immediately disclose and discuss with a supervisor as well as contacting the Compliance Section (University Officers and Senior Level Executives), the Faculty Affairs Office (faculty and academic staff), or Compliance Section (other employees).

22.4.2 All supervisors

All supervisors must instruct employees regarding the content of this chapter.

22.4.2.1 All supervisors must monitor employee activities with regard to receipt of gifts/favors from vendors and sponsors, employment of and transactions involving related parties, use of inside information, purchases of goods and services from research sponsors, and employment of and purchases from "related parties [link: 22.8.6] ".

22.4.3 Employees at any level campaigning for public office

Employees at any level campaigning for public office must advise his or her supervisor.

22.4.4 Academic Staff and Faculty

Academic Staff and Faculty must make additional disclosures set out at 22.3.3[link: 22.3.3].

22.4.5 The Dean of Faculty Affairs and the CCO

The Dean of Faculty Affairs, for faculty and academic staff, and the CCO, for all other employees, must establish procedures to assure compliance with annual disclosure and other Conflict of Interest reporting requirements, provide initial review of disclosed situation, and report to the COO for its final review when it finds the situation that might create conflict of interests or commitments.

22.4.6 The COO

The COO must establish and staff a "Conflict of Interest Review Panel" comprised of the General Counsel, the COO, and two faculty members. The COO is responsible for making determination of appropriate

actions regarding conflict of interests or commitments, hearing report and recommendation by the panel. In addition, the COO, for University Officers and executives, must establish procedures to assure compliance with annual disclosure and other Conflict of Interest reporting requirements, provide review of disclosed situation, and report to the Board of Governors when it deems necessary.

22.4.7 The Conflict of Interest Review Panel

The "Conflict of Interest Review Panel" (the General Counsel, the CCO, and two faculty members appointed by the Dean of Faculty Affairs) in the office of the COO will assess the facts and report their findings and recommendation to the COO for decision.

22.4.8 The General Counsel

In addition to serving on the COO's "Conflict of Interest Review Panel," the General Counsel must review research-related agreements and arrangements for impermissible special provisions and other potential conflicts of interest.

22.5 Procedures

22.5.1 annual disclosure process

22.5.1.1 faculty, administrative staff, other employees

22.5.1.2 University Officers, other Senior Level Executives

22.5.2 immediate disclosure process - new conflict

22.5.3 special academic staff disclosures

22.6 Forms

Conflict of Interest Disclosure Form for External Activities
Special faculty academic staff disclosures
Application/Approval for External Professional Activities

22.7 Contacts

22.7.1 Policy Owner

The COO, the CCO and the Dean of Faculty Affairs

22.7.2 Other Contacts

The Faculty Affairs Office:
Compliance Section:

22.8 Definitions

22.8.1 Conflict of Commitment

If the external activities and engagements of employees demand or consume so much of their time, effort, or attention that their ability to satisfy their obligations to the University is adversely affected, a Conflict of Commitment exists.

22.8.2 Financial Interest

Financial Interest is an actual or foreseeable nontrivial financial benefit resulting from a decision.

22.8.3 Gift

For purposes of this chapter, a "gift" is any gratuity, favor, discount, entertainment, hospitality, loan, forbearance, service, training, transportation, lodging, meals, or other item that constitutes a personal benefit to the recipient, which is offered/given by anyone doing business with the University or desiring to do business with the University, including sponsors of research. A gift to a family member of a University official or a gift to any other individual based on that individual's relationship with a University official, may be considered a "gift" for purposes of this chapter if it is given with the knowledge and acquiescence of the University employee and if the University employee has reason to believe the gift was given because of the recipient's University status. The word "gift" as used in this Chapter does not include any gift (contribution, donation, bequest) made to the University as described in Chapter 7, Fundraising [link: 7.8].

22.8.4 Individual Conflict of Interest

When there is a divergence between an individual's private interests and his or her professional obligations to the University, such that an independent observer might reasonably question whether the individual's professional actions or decisions are determined by considerations of personal gain, financial or otherwise, there is an Individual Conflict of Interest. An individual conflict of interest depends on the situation, and not on the character or actions of the individual.

22.8.5 Institutional Conflicts of Interest

An Institutional Conflict of Interest may occur when the University, any of its University Officers, Senior Level Executives, members of the Board of Governors, or a graduate school, division, or other sub-unit, or an affiliated foundation or organization, has an external relationship

with or Financial Interest in an entity that itself has a Financial Interest in University projects, research, or business transactions. University Officers, Senior Level Executives or members of the Boards of Governors may also have conflicts when they serve on the boards of (or otherwise have an official relationship with) organizations that have significant commercial transactions with the University. The existence (or appearance) of such conflicts can lead to actual bias, or suspicion about possible bias, in the review or conduct of research at the University. If they are not evaluated or managed, they may result in choices or actions that are incongruent with the missions, obligations, or the values of the University.

22.8.6 Related Parties

For the purpose of this policy and chapter, "related parties" include, but are not limited to, an employee's immediate family members (parents, siblings, spouses, children, other relatives within third degree of kinship), persons living in the same the home/residence as the employee, persons with whom the employee has a close personal friendship, and persons with whom the employee has a business partnership or association.

22.8.7 University Officers

University Officers for purposes of this chapter are persons performing in the following capacities:

- President/CEO,
- Vice CEO, and
- Auditors.

22.8.8 Senior Level Executives

University Senior Level Executives are defined in Chapter 30.2.2.1.1 of the PRP.

- Executive Vice President for Technology Development and Innovation,
- Provost,
- COO,
- Vice President,
- Dean (including Dean of Faculty Affairs and Dean of the Graduate School),
- General Counsel, and
- Any other person designated by the President/CEO

22.8.9 Academic Staff

Academic Staff for purposes of this chapter are persons performing in the following capacities:

- Postdoctoral Scholars,
- Research Scientists,
- Technical Staff working in a research unit, and
- Any other position for academic and/or scientific activities of the University.

Authority:
- Approved by the President/CEO
- Whistleblower Protection Act

Chapter 23 Investigation and Determination of Misconduct & Whistleblower Protection

23.1 Policy

Misconduct subject to this Chapter includes any activity undertaken by anyone affiliated with OIST Graduate University (University), including, without limitation, officers, employees, students, vendors, and contractors that violates applicable Japanese legal or regulatory provisions, or violates Bylaws, University Rules, Policies, Rules, and Procedures (PRPs) (collectively, "non-compliance") and misconduct in research activities by these people. The scope of non-compliance includes public research fund misuse. Besides this Chapter, the University's Code of Conduct and Research Ethics, Compliance and Prevention of Conflict of Interest, Operation and Management of Public Research, Avoiding Conflicts of Interest and Commitment, and Resolving Complaints & Disputes should be reviewed for additional guidance.

All officers, employees and students, who are the members of the University, are responsible for maintaining the highest ethical standards. To protect the integrity of the University community, and to ensure the highest standards of conduct by and among members of the University community, the University will investigate, in accordance with the rules set forth in this chapter, any alleged misconduct by faculty, employees, students, vendors, contractors and others having dealings with the University.

Any University officers, employees, students, vendors, and contractors found to have engaged in misconduct will be subject to disciplinary action by the University, up to and including termination of position or employment (officers and employee), expulsion (students), cancellation of contractual relationship (vendors and contractors), and civil or criminal prosecution if warranted.

23.1.1 Whistleblower Protection Policy

The University will not tolerate retaliatory action against any employee or student for making a good faith report of potential or suspected misconduct. Similarly, the University will not tolerate any direct or indirect use (or attempted use) of official authority or official influence for the purpose of interfering with the rights of an employee or a student to make a Protected Disclosure.

23.2 Rules

23.2.1 Reporting Misconduct

23.2.1.1 All members of the University are strongly encouraged to report any perceived misconduct if they believe or suspect that the misconduct has taken place. Reports may be made to a senior member (or the supervising faculty member or the Dean of the Graduate School for students) of the person who is suspected to have committed the misconduct, or via the contact points listed in Table 1. Any person other than the University member may make a report via the external contact point shown in Table 1. Procedures for making a report are set forth in 23.4.1.1 below.

23.2.1.2 A report of a suspected misconduct made by anyone shall be in good faith, based on objective and rational grounds. A groundless report for defaming the respondent or that is driven by bad faith (which means a will solely directed to causing a damage on the respondent, such as for causing harm to the respondent or for obstructing the research carried out by the respondent, or for creating disadvantage for the entity or organization that the respondent belongs to) or a report based on an identical or a similar content (ex: any report with an identical or similar factual background claimed in the previous report, or any report on the investigation regarding the previous report) shall not be made.

23.2.1.3 All officers and employees who are involved with the process of handling reports, from the receipt of a report to the completion of investigation, shall strictly maintain confidentiality of information pertaining to concerned parties including the whistleblower.

23.2.2 Investigation

23.2.2.1 When a report of suspected misconduct is received, it will be taken up as a case of one of the misconduct categories and verification of facts and circumstances will commence in accordance with the procedures for the applicable category:
Procedures for investigation of non-compliance are set forth in 23.4.2, procedures for investigation of public research fund misuse are set forth in 23.4.3, and procedures for investigation of Specified Research Misconduct are set forth in 23.4.4. For investigation of misconduct in research activities other than Specified Research Misconduct [link: 23.7.6.2.1] such as duplicate submissions and

inappropriate authorship, 23.4.4 will apply mutatis mutandis to the procedures as necessary.
In addition, when the countermeasures to the relevant report are clearly provided in the PRP and other regulations, the said report may be assigned to the division/section in charge. In this case, the original contact point shall notify the reporter regarding the assignment to the relevant division/section.

23.2.2.2 Any person subject to the concerned whistleblowing or has an interest in the investigated case shall not be involved in the investigation.

23.2.2.3 Results of investigation shall be reported to the President/CEO (and to the Board of Governors and Auditors, if there is any potentially serious non-compliance with legal or regulatory provisions). This report shall be made directly to the Board of Governors and Auditors, if the President/CEO has an interest in the concerned whistleblowing.

23.2.2.4 Also, a case brought to the University's attention by means other than a report, such as by a consultation without a clear indication or a willingness of making a report, or by media coverage or findings from external agency such as the Board of Audit, or by an indication of suspected specified research misconduct made by the scientific community such as an academic society or by information of suspected specified research misconduct posted on a website, may also be handled by the same procedures that handle cases initiated by a report.

23.2.3 Retaliation Complaint

23.2.3.1 Any whistleblower who experiences retaliatory action for making a good faith report of potential or suspected misconduct, or who has been the subject of direct or indirect use or attempted use of official authority or official influence for the purpose of interfering with his or her right to make a Protected Disclosure, may file a Retaliation Complaint to the Chief Operating Officer (hereinafter referred to as "COO").

23.2.3.2 The Whistleblower Protection Policy shall apply to any retaliation complaint filed by whistleblowers, attempted whistleblowers or employees or members who have refused to obey an Illegal Order.

23.2.3.3 The University will take whatever action is necessary to prevent and correct violations of this Whistleblower Protection Policy, in accordance with applicable laws and regulations and University PRPs.

23.2.3.4 The COO conducts an investigation to verify the facts and circumstances which constitute the cause of a specific Retaliation Complaint.

23.2.4 Any individual who files a Groundless Report or Complaint is not subject to protection under the University's Whistleblower Protection Policy.

23.3 Responsibilities

23.3.1 All Employees and Students

All employees and students are required to report any non-compliance with the University policies as well as Japanese laws, regulations, rules or regulatory controls which apply to activities of the University, based on a rational ground and in good faith. Also, employees and students are expected to be truthful and cooperative in an investigation regarding suspected misconduct.

All employees and students are required to complete the orientation programs before they start working at the University, and also attend periodical training sessions to ensure compliance with the rules concerning appropriate use of research funds including operating expense subsidy and competitive research funding. In the course of these compliance training sessions, employees are asked to sign a form to confirm their understanding and agreement to observe the rules that apply to the University.

23.3.2 President/CEO

The President/CEO is the Chief Administrative Officer for all aspects of the prevention and investigation of misconduct. The President/CEO will fully inform employees and students that they have responsibility to report misconduct and where the contact points for reporting. Also, the President/CEO shall promptly review reported cases and draw a conclusion.

23.3.3 Dean of Research and Dean of Faculty Affairs

The Dean of Research is the General Administrative Officer over the response and investigation of the public research fund misuse, and is a contact point for reporting the public research fund misuse. The Dean of Faculty Affairs is the General Administrative Officer over the response and

investigation of the misconduct in research activities, and is a contact point for reporting the misconduct in research activities. Also, under the instruction of the President/CEO, the Dean of Research and the Dean of Faculty Affairs provide instructions to relevant departments and offices and makes inquiry to verify details of a reported case.

23.3.4 COO

The COO is a contact point for whistleblowing concerning any activity that violates Japanese laws or regulations, Bylaws, University Rules or PRPs (excluding those relating to public research fund misuse, harassment and other disputes) and is in charge of investigation. Also, the COO is in charge of responses to Retaliation Complaints, and administration of contact points for confidential or anonymous reporting (hotline). Also, the COO coordinates relevant departments and offices to ensure that they handle reports in compliance with predetermined procedures and cooperate with each other, and, further, responds to concerns about retaliation or unfair treatment against whistleblowers who have reported misconduct, in cooperation with the people in charge of the concerned case. If there is any potentially serious non-compliance with legal or regulatory provisions, the COO will coordinate communication between the President/CEO, the Board of Governors and Auditors.

23.4 Procedures

23.4.1 Procedures for Reporting Misconduct

23.4.1.1 A report of misconduct may be made to a person who is a supervisor of the suspected person or a contact point listed below. Supervisors include the following people:

- When an employee is subject to the whistleblowing: A senior employee in the employee's office or department;
- When a student is subject to the whistleblowing: The student's academic supervisor or the Dean of the Graduate School; and
- When a faculty member is subject to the whistleblowing: The Dean of Faculty Affairs.

Table 1: Contact points of report of misconduct

Case Category	Contact Points	
	Internal	External
(PRP 23.4.2) Non-compliance	COO Compliance Section Manager	Misconduct Report Hotline
(PRP 23.4.3) Public research fund misuse	Dean of Research Research Finance Manager Misuse of open-recruitment type research funding may also be reported to the Grants and Research Collaborations Section Manager or the Business Development Section Manager.	
(PRP 23.4.4) Misconduct in research activities	Dean of Faculty Affairs	

*Conflicts of interest may be reported to the COO or the Compliance Section Manager, and Harassment and Personnel Dispute may be reported to the AVPHR or the RWAH Hotline.

23.4.1.1.1 Whistleblowers may report suspected misconduct to the listed contact points by email, in writing, or by phone. It is recommended to use the Whistleblower Report] as much as possible in order to promptly implement the investigation.

23.4.1.1.2 As a basic rule, a report shall be made by identifying the name of the whistleblower, and only a report that describes details of the case, such as who has committed the suspected misconduct, what kind of misconduct is committed, and a rational ground, will be officially received.

23.4.1.1.3 Notwithstanding 23.4.1.1.2, whistleblowers may report suspected misconduct anonymously by email, in writing or by phone through the University's Misconduct Report Hotline above. The hotline is taken care of by an external entity in order to maintain confidentiality. The University will handle any anonymous report received by the Hotline in accordance with the equivalent procedures for reports made by identified whistleblowers, taking account of the contents of the case.

23.4.1.1.4 When a contact point has received a report concerning significant misconduct, it shall promptly notify thereof to the COO, the Dean of Research or the Dean of Faculty

Affairs.

23.4.1.1.5 When the contact point finds that the University is not an entity to conduct investigation of the reported case, it will forward the report to an entity that is the investigatory organization. The University will handle any report of suspected misconduct being forwarded from another entity deeming that the report has been made to the University. Also, in the case of the University finds that there is another entity that is in charge of the investigation besides the University, it notifies said another entity of the report.

23.4.1.1.6 When a contact point has received a report and the fact as to whether or not it has officially received the report cannot be known by the whistleblower, it notifies the whistleblower that it has officially received the report (excluding anonymous reports; however, if the whistleblower is identified before issuance of an investigation report, the whistleblower is treated as an identified whistleblower; the same applies hereinafter).

23.4.1.1.7 When a consultation contains such a description that misconduct is about to occur or a person is asked to commit misconduct, the contact point notifies the COO, the Dean of Research or the Dean of Faculty Affairs.

23.4.1.2 When an illegal activity violating the Act on the Protection of Personal Information Held by Incorporated Administrative Agencies, Etc. has taken place or is about to take place, a report may also be submitted in writing to the Okinawa Institute of Science and Technology Graduate University Project Office, Okinawa Development and Promotion Bureau of the Cabinet Office.

23.4.2 Procedures for Investigation of Non-compliance with Legal or Regulatory Provisions

23.4.2.1 Preliminary Investigation

23.4.2.1.1 When the COO finds that a reported case needs a Preliminary Investigation, he/she may have Compliance Section to conduct the Preliminary Investigation. When conducting the Preliminary Investigation, the COO will investigate the credibility, rationality and the purpose of the report, in addition to the credibility and rationality of conducting the Substantial

Investigation, etc.

23.4.2.1.2 The COO shall review the details of the report from the standpoint of credibility, rationality and the purpose of the report, in addition to the credibility and rationality of conducting the Substantial Investigation, etc. within 30 days from the official receipt of the report, and decide whether or not a Substantial Investigation is necessary. However, in case there is a legitimate reason, such as difficulty in administrative procedures, etc., the said period of 30 days may be extended to a maximum of 60 days. In this case, the COO shall give a written notification on the extended duration and the reason thereof. The COO shall notify the President/CEO and the whistleblower of the commencement of the Substantial Investigation when the decision is to conduct a Substantial Investigation, or, when the decision is not to conduct a Substantial Investigation, notify the whistleblower thereof with a reason why the Substantial Investigation will not be conducted.

23.4.2.2 Substantial Investigation

23.4.2.2.1 The President/CEO shall, when the decision to conduct a Substantial Investigation has been made, promptly instruct and cause the COO and Compliance Section to conduct factual investigation. However, the President/CEO may establish a Compliance Investigatory Committee and have the Compliance Investigatory Committee to conduct an investigation, if it deems necessary. The COO chairs the Compliance Investigatory Committee, and convenes meetings on a case basis selecting persons whom the COO considers necessary. The Secretariat of the Compliance Investigatory Committee is handled by the Compliance Section.

23.4.2.2.2 The Compliance Investigatory Committee will investigate whether there was alleged non-compliance, who were involved in the alleged misconduct and how deeply they were involved. The Committee may request the respondent to submit relevant documents, make an attestation, respond to hearing and/or other necessary cooperation.

23.4.2.2.3 The Compliance Investigatory Committee shall, before making a determination, notify the respondent of the contents of the investigation to ask for the respondent's comments. The respondent may submit his/her comments to

the Compliance Investigatory Committee within 30 days from the date of notification of the contents of investigation under the preceding paragraph. In this case, when the Compliance Investigatory Committee has received comments or a response of “no comments” from the respondent, the Committee may make a determination even before the expiry of the 30-day period.

23.4.2.3 Determination

The Compliance Investigatory Committee shall make a determination as to whether or not there was non-compliance, based on the results of the investigation, and notify the President/CEO of the results of the investigation including said determination. The President/CEO shall notify the respondent of the results of the investigation.

23.4.2.4 Appeal

The respondent may appeal to the President/CEO within 14 days from the date of notification of the results of the investigation. When an appeal is lodged, the President/CEO may instruct the Compliance Investigatory Committee to conduct a re-investigation at the discretion of the President/CEO. In this case, when the respondent's claims in the appeal and grounds thereof are concerning fairness or integrity of the Compliance Investigatory Committee such as composition of the Committee, members of the Compliance Investigatory Committee may be replaced at the discretion of the President/CEO. When a re-investigation is instructed, the Compliance Investigatory Committee shall promptly proceed with the re-investigation and notify the President/CEO of the results thereof. The President/CEO shall make a decision on the appeal, and notify the respondent and the Compliance Investigatory Committee of the decision. When the President/CEO has decided not to conduct a re-investigation, he/she will notify the respondent and the Compliance Investigatory Committee of the decision with a reason why the re-investigation will not be conducted. The respondent may not further appeal against said decision on the appeal.

23.4.2.5 Notifying and Reporting

The President/CEO shall notify the whistleblower, the respondent and the head of the relevant department or office of the results of the investigation, and also, if any concerned person is to receive an adverse disposition, submit reports with additional descriptions including dispositions on the concerned persons, factors facilitated the misconduct and recurrence prevention measures to the Board of

Governors, Auditors, the Funding Agency, Cabinet Office and the relevant ministries and agencies, within, unless otherwise specified, 210 days from the official receipt of the report made by the whistleblower.

23.4.2.6 Public Announcement of The Results of Investigation

When it was determined that there was non-compliance with legal or regulatory provisions, the President/CEO shall publicly announce the results of investigation promptly after the determination, unless the President/CEO finds it necessary to keep the results undisclosed because of a justifiable reason. In this case, names of the involved persons are basically disclosed and other information are also disclosed unless the President/CEO finds it particularly necessary to keep it undisclosed. In addition, when information on the subject case has been divulged outside the University or when the subject case involves a serious issue having a significant social impact, the President/CEO may make a public announcement as a mid-term report even during the investigation is on-going, if it deems necessary.

23.4.2.7 Measures for Whistleblowers and Respondents

23.4.2.7.1 When a determination that misconduct took place has been made, the President/CEO will take an appropriate disciplinary action against a person determined to be involved in the misconduct in accordance with Chapter 38 "Discipline".

23.4.2.7.2 When a report made by a whistleblower is determined to be bad faith, the President/CEO will take an appropriate disciplinary action against the whistleblower in accordance with Chapter 38 "Discipline".

23.4.3 Procedures for Investigation of Public Research Fund Misuse

23.4.3.1 Preliminary Investigation

23.4.3.1.1 When the President/CEO finds that a reported case needs a Preliminary Investigation, he/she may have the Dean of Research to conduct the Preliminary Investigation. When the Dean of Research is instructed by the President/CEO to conduct the Preliminary Investigation, the Dean of Research will investigate the credibility and so on of the report, and will submit

the results thereof to the President/CEO within 14 days from the date of receipt of the instruction.

23.4.3.1.2 The President/CEO shall review the details of the report from the standpoint of rationality within 30 days from the official receipt of the report, decide whether or not a Substantial Investigation is necessary, and notify the Board of Governors, Auditors, the Funding Agency, the Cabinet Office and the relevant ministries and agencies of the decision when the decision is to conduct a Substantial Investigation. The President/CEO shall notify the whistleblower of the commencement of the Substantial Investigation when the decision is to conduct a Substantial Investigation, or, when the decision is not to conduct a Substantial Investigation, notify the whistleblower thereof with a reason why the Substantial Investigation will not be conducted.

23.4.3.2 Substantial Investigation

23.4.3.2.1 The President/CEO shall, when the decision is to conduct a Substantial Investigation, promptly establish and cause a Public Research Fund Investigatory Committee to conduct factual investigation. The Dean of Research chairs the Public Research Fund Investigatory Committee, and convenes meetings on a case basis selecting persons whom the Dean of Faculty Affairs considers necessary from the people listed below. The Secretariat of the Public Research Fund Investigatory Committee is handled by the Office of the Dean of Research.

(1) Dean of Research
(2) General Counsel
(3) COO
(4) Vice President, Financial Management
(5) Dean of Faculty Affairs
(6) Research Finance Manager
(7) HR Management Section Leader
(8) Compliance Section Leader
(9) Accounting Section Leader
(10) Grants and Research Collaborations Section Leader
(11) Business Development Section Leader
(12) Other eligible persons whom the chairperson considers necessary

23.4.3.2.2 The Public Research Fund Investigatory Committee

will investigate whether there was public research fund misuse, what kind of misuse took place, who were involved in the alleged misuse and how deeply they were involved, what is an amount equivalent the misuse, etc. The Public Research Fund Investigatory Committee shall discuss the policy of the investigation and what and how to investigate before the commencement of the Substantial Investigation. The Public Research Fund Investigatory Committee may request the respondent to submit relevant documents, make an attestation, respond to hearing and/or other necessary cooperation. In addition, the Public Research Fund Investigatory Committee may order the respondent not to use the public research funds subject to the investigation, if it deems necessary.

23.4.3.2.3 The Public Research Fund Investigatory Committee shall, before making a determination, notify the respondent of the contents of the investigation to ask for the respondent's comments. The respondent may submit his/her comments to the Public Research Fund Investigatory Committee within 30 days from the date of notification of the contents of investigation under the preceding paragraph. In this case, when the Public Research Fund Investigatory Committee has received comments or a response of "no comments" from the respondent, the Committee may make a determination even before the expiry of the 30-day period.

23.4.3.3 Determination

The Public Research Fund Investigatory Committee shall make a determination as to whether there was public research fund misuse, what kind of misuse took place, who were involved in the alleged misuse and how deeply they were involved, what is an amount equivalent the misuse, etc., based on the results of the investigation, and notify the President/CEO of the results of the investigation including said determination.

23.4.3.4 Notifying and Reporting

23.4.3.4.1 The President/CEO shall, based on the results notified under the preceding paragraph, notify the whistleblower, the respondent and the head of the relevant department or office of the results of the investigation, and also submit reports with additional descriptions including dispositions on the concerned persons, factors facilitated the misuse, information on mechanisms for managing and

supervising public research funds which are other than those subject to the investigation and said concerned persons are involved in and recurrence prevention measures to the Board of Governors, Auditors, the Funding Agency, the Cabinet Office and the relevant ministries and agencies, within, unless otherwise specified, 210 days from the official receipt of the report made by the whistleblower. The President/CEO shall notify the respondent of the results of the investigation.

23.4.3.4.2 The President/CEO shall, even when the investigation is on-going, when any parts of the facts of the misuse have been verified, make a determination promptly and submit reports to the Board of Governors, Auditors, the Funding Agency, the Cabinet Office and the relevant ministries and agencies. In addition, when the Funding Agency, the Cabinet Office or the relevant ministries and agencies requests, even before the completion of the investigation, a progress report of the investigation or a mid-term report shall be submitted and it shall be reported to Auditors. Also, if the Funding Agency, the Cabinet Office or the relevant ministries and agencies requests, the President/CEO shall submit materials related to the matter or permit their inspection and on-site investigation, unless there are appropriate reasons for not doing so, such as when it is likely to cause an adverse effect on the investigation or undue violation of individual rights

23.4.3.5 Appeal

The respondent may appeal to the President/CEO within 14 days from the date of notification of the results of the investigation. When an appeal is lodged, the President/CEO may instruct the Public Research Fund Investigatory Committee to conduct a re-investigation at the discretion of the President/CEO. In this case, when the respondent's claims in the appeal are concerning fairness or integrity of the Public Research Fund Investigatory Committee, such as composition of the Committee, members of the Public Research Fund Investigatory Committee may be replaced at the discretion of the President/CEO. When a re-investigation is instructed, the Public Research Fund Investigatory Committee shall promptly proceed with the re-investigation and notify the President/CEO of the results thereof. The President/CEO shall make a decision on the appeal and notify the respondent and the Public Research Fund Investigatory Committee of the decision. When the President/CEO has decided not to conduct a re-investigation, he/she will notify the respondent and the Public Research Fund

Investigatory Committee of the decision with a reason why the re-investigation will not be conducted. The respondent may not further appeal against said decision on the appeal.

23.4.3.6 Public Announcement of the Results of Investigation

When it was determined that there was misuse, the President/CEO shall publicly announce the results of investigation promptly after the determination, unless the President/CEO finds it necessary to keep the results undisclosed because of a justifiable reason. In this case, names of the involved persons are basically disclosed and other information are also disclosed unless the President/CEO finds it particularly necessary to keep it undisclosed. In addition, when information on the subject case has been divulged outside the University or when the subject case involves a serious issue having a significant social impact, the President/CEO may make a public announcement as a mid-term report even during the investigation is on-going, if it deems necessary.

23.4.3.7 Measures for Whistleblowers and Respondents

23.4.3.7.1 When a determination that misuse took place has been made, the President/CEO will take an appropriate disciplinary action against a person determined to be involved in the misuse in accordance with Chapter 38 "Discipline".

23.4.3.7.2 As a result of the reporting, if the President/CEO is ordered to refund the public research funds determined to be misused by the Funding Agency, the Cabinet Office or the relevant ministries and agencies, the President/CEO may request the respondent to return the amount. If the misuse is serious such as misappropriation for a private purpose, legal measures may be taken, if it is deemed necessary.

23.4.3.7.3 When no misuse was determined, the President/CEO may, based on the results notified under the preceding paragraph, take measures for preventing possible disadvantages on the whistleblower and the respondent, if it is deemed necessary.

23.4.3.7.4 When a report made by a whistleblower is determined to be bad faith, the President/CEO will take an appropriate disciplinary action against the whistleblower in

accordance with Chapter 38 "Discipline".

23.4.4 Procedures for Investigation of Specified Research Misconduct

23.4.4.1 Preliminary Investigation

A Preliminary Investigation is conducted in order to determine whether or not an official Substantial Investigation is necessary, in accordance with the following guidelines:

23.4.4.1.1 The Dean of Faculty Affairs will, with members selected from following list based on the research field in question, promptly undertakes a Preliminary Investigation to evaluate the possibility that the alleged Specified Research Misconduct took place, credibility of the rationale provided as a scientifically reasonable ground of reporting, rationality of the contents of the reporting, whether or not an investigation is warranted and so on, while providing any and all reasonable and practical means.

(1) Dean of Faculty Affairs
(2) General Counsel
(3) Dean of Research
(4) Chair of the Faculty Counsel
(5) Chair of the Faculty Assembly
(6) External Experts
(7) Other eligible persons whom the Dean of Faculty Affairs considers necessary

23.4.4.1.2 When conducting a Preliminary Investigation with respect to a manuscript which has been withdrawn before receiving the reporting, the Dean of Faculty Affairs will, in the process of the Preliminary Investigation, also evaluate as to whether or not the case should be investigated in a Substantial Investigation as an issue of Specified Research Misconduct, taking account of such matters as how and why the manuscript was withdrawn and any other relevant situations, and make a decision whether to proceed with a further full-scale investigation.

23.4.4.1.3 The Dean of Faculty Affairs will confirm the source of funding which funds the research subject to the reporting. Budget Section, and Grants and Research Collaborations Section will provide a report on the source of funding to the Dean of

Faculty Affairs.

23.4.4.1.4 The Dean of Faculty Affairs will decide whether to conduct a Substantial Investigation within 30 days after the official receipt of the reporting and report to the President/CEO.

23.4.4.1.5 When the decision is not to conduct a Substantial Investigation, the Dean of Faculty Affairs shall notify the whistleblower of the decision and the reason why the Substantial Investigation will not be conducted. In this case, the Dean of Faculty Affairs shall archive reference materials used in the Preliminary Investigation, and, upon request by the relevant Funding Agency, the Cabinet Office, the relevant ministries and agencies or the whistleblower, disclose these archived references.

23.4.4.1.6 A report of a Preliminary Investigation and relevant documents will be archived for 7 years at the University.

23.4.4.2 Substantial Investigation

23.4.4.2.1 Notifying and Reporting

i) A Substantial Investigation is carried out by the Committee to Promote the Responsible Conduct of Research (hereinafter, "CPR"). The Dean of Faculty Affairs chairs the CPR, and convenes meetings on a case bases selecting persons whom the Dean of Faculty Affairs considers necessary from the people listed below. Internal Faculty members and external members are selected by the Dean of Faculty Affairs based on the research field in question. The Secretariat of the CPR is handled by the Office of Dean of Faculty Affairs.

(1) Dean of Faculty Affairs
(2) General Counsel
(3) Dean of Research
(4) Chair of the Faculty Counsel
(5) Chair of the Faculty Assembly
(6) External Experts (Needs to be over half of the members)
(7) Other eligible persons whom the chairperson considers necessary

When a decision to carry out a Substantial Investigation has been made, the President/CEO will notify in writing the whistleblower and the respondent that the Substantial Investigation will be carried out and ask them to cooperate with

the investigation. When the respondent belongs to an entity other than the University, the notice will also be given to said entity. The chairperson will, when it has established the CPR, provide the whistleblower and the respondent with a list of committee members identifying their organizations. In response thereto the whistleblower and the respondent may file an opposition within 7 days after he/she received said notification. In the case where an opposition is filed, the chairperson will review the contents of the opposition, and if the chairperson finds the opposition is reasonable, it will replace the committee member(s) objected in the opposition and notify the complainant and the respondent of the replacement. In carrying out the investigation of the alleged case, a special care shall be used so that, unless the whistleblower agrees to the contrary, the whistleblower cannot be identified by the respondent or a person other than the persons working in the investigation.

ii) The Dean of Faculty Affairs notifies the President/CEO, the Board of Governors, Auditors, the Funding Agency, the Cabinet Office and the relevant ministries and agencies that it will carry out a Substantial Investigation.

iii) A Substantial Investigation shall be commenced no later than 30 days after the decision to conduct the Substantial Investigation.

23.4.4.2.2 Investigation Method and Delegated Power

i) The Substantial Investigation will be carried out by scrutinizing various reference materials such as manuscripts, experimental or observational notebooks and raw data relating to the research activities in question, conducting interviews with relevant personnel, requesting reproduction of the same experiments. In doing so, the respondent shall be given an opportunity for explanation.

ii) For investigating the possibility that the alleged Specified Research Misconduct took place, when the CPR requests the respondent to prove reproducibility by conducting the same experiment or when the respondent voluntarily requests to do such experiment and the CPR finds it necessary, the reproduction of the same experiment will be carried out within the extent that the CPR finds it reasonably necessary taking account of a necessary period and opportunity (including

equipment, costs, and other relevant matters). In doing so, guidance and supervision provided by the CPR will be followed.

iii) With respect to the Substantial Investigation, the CPR may request other entities to conduct a necessary investigation.

iv) With respect to the preceding three paragraphs, the CPR has the power to require concerned persons to submit reference materials, appear in hearings and conduct reproduction of the same experiment, and require the University to pay costs reasonably necessary for the procedures. Also, concerned persons including the whistleblower and the respondent shall cooperate with the investigation carried out by the CPR based on said delegated power in good faith.

23.4.4.2.3 Research Activities Subject to Investigation

In addition to the research activities in question, other research activities which involve the respondent and are relevant to the investigation may be subject to investigation at the discretion of the CPR.

23.4.4.2.4 Measures for Preserving Evidence

In order to carry out a Substantial Investigation, the CPR will take measures for preserving reference materials which may be used as evidence for the research activities in question. In this case, if the research activities in question took place at a venue controlled by an entity other than the University, the CPR will request the entity to take measures for preserving reference materials which may be used as evidence for the research activities in question. The respondent's research activities will not be restricted to the extent that does not negatively affect these measures.

23.4.4.2.5 Mid-term Investigation Report

If the Funding Agency, the Cabinet Office or the relevant ministries and agencies which has distributed or took measures for the budget of the research activities in question requests, the President/CEO will submit a mid-term investigation report to the Funding Agency, the Cabinet Office or the relevant ministries and agencies even before the completion of the investigation, and it will be reported to Auditors.

23.4.4.2.6 Protection of Research or Technical Information Subject to Investigation

In carrying out investigation, a special care shall be used so that research or technical information subject to investigation such as data and manuscripts before publication will not be disclosed beyond the extent that is just necessary for carrying out the investigation. In a case where there are more than one respondents, if it has been found that they were not collectively involved in the alleged misconduct, investigation reports may be prepared individually for these respondents, for the sake of maintaining confidentiality.

23.4.4.3 Determination

23.4.4.3.1 Determination

i) The CPR will complete documentation of the results of the investigation within 150 days from the commencement of the Substantial Investigation and make a determination as to whether or not Specified Research Misconduct took place.

ii) If it is determined that Specified Research Misconduct took place, the CPR will further determine the details thereof, including name of persons involved in the Specified Research Misconduct, the degree of involvement of each person, and the roles of authors of the manuscripts relating to the research activities being determined as Specified Research Misconduct in said manuscripts or in said research activities.

iii) When it is determined that Specified Research Misconduct did not take place, if it has been found that the reporting was bad faith, the CPR will make the determination of bad faith reporting at the same time. In doing so, the whistleblower shall be given an opportunity for explanation.

iv) Upon completion of the determinations according to the preceding three paragraphs, the CPR will immediately report the determinations to the President/CEO.

23.4.4.3.2 Accountability for Reporting of Specified Research Misconduct

In the investigation carried out by the CPR, when the respondent intends to remove the suspicions over the research activities in question, the respondent shall explain, under his/her own responsibility, that the research activities have been carried out in accordance with scientifically appropriate methods and procedures, and the papers have been written based thereon

using appropriate expressions, presenting scientific evidence that supports his/her explanation.

23.4.4.3.3 Determination Whether or Not Specified Research Misconduct Took Place

i) The CPR takes into account the explanation given by the respondent under the preceding paragraph and makes comprehensive evaluation of all evidence obtained by the investigation including physical or scientific evidence, testimonies and self-admission of the respondent, to determine whether or not Specified Research Misconduct took place. Credibility of evidence is determined by the evaluation of the CPR, but, to determine factual basis of the misconduct and intentionality, it is important to take account of various aspects such as the organizational mechanisms applied to the research of the respondent and how the data were checked in the mechanisms. In addition, determination that Specified Research Misconduct took place cannot be made if the respondent's self-admission is the only evidence supporting the determination.

ii) In the case where evidence supporting the Specified Research Misconduct is submitted, when a suspicion that the Specified Research Misconduct took place cannot be reversed by the respondent's explanation and other evidence, the determination that Specified Research Misconduct took place will be made. Also, the same applies to the case where the respondent is unable to present sufficient evidence that reverses the suspicion that Specified Research Misconduct took place due to lack of basic elements which normally exist in research activities, such as lack of raw data, experimental or observational notebooks, experimental materials or reagents. However, this does not apply to the case where it is found that there is a justifiable reason for that, such as when the respondent had used a good manager's care and the inability of presenting sufficient evidence based on the basic elements was due to a cause beyond control of the respondent (such as loss by disaster). Also, the same applies to the case where lack of raw data, experimental or observational notebooks, experimental materials or reagents, etc. is because of expiry of the reasonable period for storage specified by OIST Guidelines on Research Data and Laboratory Notebooks [link: TBP] or the research institution that the respondent belonged to when he/she was carrying out the alleged research activities.

iii) Specific standard of proof regarding the preceding two paragraphs and basic elements which should normally exist in research activities as mentioned in the preceding paragraph are determined by the CPR taking account of the characteristics of the relevant research field.

iv) A report of a Substantial Investigation and relevant documents will be archived for 7 years at the University.

23.4.4.3.4 Notifying and Reporting of Results of Investigation

i) The President/CEO will promptly notify the whistleblower and the respondent (including those who are other than the respondent and determined to be involved in the Specified Research Misconduct; the same applies hereinafter) of the results of the investigation (including the determination; the same applies hereinafter). When the respondent belongs to an entity other than the University, said entity will also be notified of said results of the investigation.

ii) In addition to the preceding paragraph, the President/CEO will report said results of the investigation to the Board of Governors, Auditors, the Funding Agency, the Cabinet Office and the relevant ministries and agencies.

iii) When the reporting by the whistleblower was determined to be bad faith, the President/CEO will also notify the entity that the complainant belongs to.

23.4.4.3.5 Appeal

i) The respondent of the reporting being determined as the Specified Research Misconduct may file an appeal to the within 14 days from the date of notification of the results of the investigation. However, once an appeal is filed, another appeal based on the same reason cannot be filed even before the expiry of said period.

ii) The whistleblower (including those who have been determined as making a bad faith reporting in the appeal proceedings initiated by the respondent; the provision of "23.4.4.3.3 Determination Whether or Not Specified Research Misconduct Took Place" above will apply mutatis mutandis to the determination in this case) whose reporting has been

determined to be bad faith may file an appeal, by applying mutatis mutandis the preceding paragraph.

iii) Review in the appeal proceedings will be handled by the CPR. In doing so, if claims of the appeal may require a new determination based on expert knowledge, the President/CEO will replace or add committee members or delegate the review to another body in place of the CPR. However, this does not apply to the case where the President/CEO finds there is no reasonable ground for requiring a change of the members of the CPR with respect to said appeal proceedings.

iv) With respect to the appeal proceedings initiated by the respondent in the case being determined that Specified Research Misconduct took place, the CPR (including those in place of the CPR according to (iii) above; the same applies hereinafter in "23.4.4.3.5 Appeal") will promptly determine whether or not it will carry out re-investigation of the case, taking account of the claims and the ground of appeal and other relevant matters. If it determines that the appeal should be dismissed without the need of carrying out re-investigation of said case, it will promptly report the President/CEO thereof, and the President/CEO will notify the respondent of said determination. In this case, if the CPR finds that the primary purpose of said appeal is to delay the conclusion of said case or to postpone the measures to be taken relating to a possible determination, the President/CEO may decide not to receive a further appeal. When a determination to carry out re-investigation has been made regarding the appeal of (i) above, the CPR will request the respondent to cooperate with the re-investigation for prompt resolution of the case, such as submission of reference materials that can be sufficient evidence to overturn the conclusion of the earlier investigation. If the respondent is not cooperative, the CPR may decide to terminate the review without conducting re-investigation. In that case, the President/CEO will immediately be reported of the decision, and the President/CEO will notify the respondent of said decision.

v) When the President/CEO has received an appeal from the respondent regarding the determination that Specified Research Misconduct took place, it will notify the whistleblower thereof. In addition, the President /CEO will report the relevant Funding Agency, the Cabinet Office, the relevant ministries and agencies thereof and Auditors. The same applies to the case where it has decided to dismiss the appeal or to carry out re-investigation.

vi) When the CPR has started re-investigation, it will decide, within a period of 50 days, whether or not it will overturn the conclusion of the earlier investigation, and immediately report the President/CEO of the decision, and then, the President/CEO will notify the decision to the respondent, the entity that the respondent belongs to and the whistleblower. In addition, the President/CEO will report the same to the relevant Funding Agency, the Cabinet Office, the relevant ministries and agencies and Auditors.

vii) Upon receipt of an appeal from the whistleblower of the reporting being determined to be bad faith as provided in (ii) above, the President/CEO will notify the entity that the whistleblower belongs to and the respondent thereof. In addition, the University will report the same to the relevant Funding Agency, the Cabinet Office, the relevant ministries and agencies and Auditors.

viii) With respect to the appeal according to (ii) above, the CPR will carry out re-investigation within 30 days, and will immediately report the President/CEO of the results thereof. The University will notify the results of the review to the whistleblower, the entity that the whistleblower belongs to and the respondent. In addition, the University will report the same to the relevant Funding Agency, the Cabinet Office, the relevant ministries and agencies and Auditors.

23.4.4.3.6 Public Announcement of The Results of Investigation

i) When it has been determined that Specified Research Misconduct took place, the President/CEO promptly makes public the results of the investigation including the category of Specified Research Misconduct, researcher(s), expenses and subject of research project, and specific description of the Specified Research Misconduct and other required information.

ii) When it has been determined that Specified Research Misconduct did not take place, unless otherwise provided, the President/CEO will not make public the results of the investigation. However, it will make public the results of the investigation if information of the case under investigation has been divulged outside the University or if an unintentional mistake was found in a research paper. When it has been

determined that the reporting was bad faith, the results of the investigation will be made public.

iii) When information of an investigated case has been divulged and become known to a person other than those in charge of the case, the President/CEO may officially explain the investigated case even if the investigation is ongoing, provided that the whistleblower and the respondent give consent to do so. However, if the divulgence of information is due to a cause attributable to the whistleblower or the respondent, consent of the person is not necessary.

23.4.4.3.7 Measures for Whistleblowers and Respondents

i) When it has been determined that Specified Research Misconduct took place, the President/CEO will take appropriate measures in accordance with Chapter 38 "Discipline" for the person determined to be involved in the Specified Research Misconduct or a person who is not determined to be involved therein but determined to be responsible for the contents of a paper relating to the determined Specified Research Misconduct as its author (hereinafter, "determined person") and recommend the determined person to withdraw the paper or the like being determined to be Specified Research Misconduct.

ii) When a reporting has been determined to be bad faith, the President/CEO will take appropriate measures against the whistleblower in accordance with the Chapter 38 "Discipline".

iii) No one shall partially or totally prohibit the respondent from carrying out research activities, nor fire, demote, pay cut nor give any other disadvantageous treatment on the respondent, simply based on the fact that the person has been accused in the reporting without substantial reason.

23.4.4.3.8 Refund of Competitive Research Funding and Application for Grant and Qualification of Applicants

i) Subsequently to the determination of Specified Research Misconduct, if the Funding Agency requests to refund a part or all of the granted competitive research funding, the determined person and the University will respond to the request in good faith.

ii) The determined person may be subject to restrictions on submitting an application for grant of competitive research funding, and on participating in granted projects. The Grants and Research Collaborations Section gathers information relating to said restrictions and appropriately administers the processing of applications.

23.4.5 How to Submit A Retaliation Complaint to the COO

23.4.5.1 A Retaliation Complaint shall be submitted to the COO as promptly as possible after experiencing a suspicious action or interference or a likelihood of retaliation.

23.4.5.2 Requirements and Criteria for Making Complaint
A Retaliation Complaint under the Whistleblower Protection Policy shall be submitted in writing, with indications of the date of complaint and names of relevant persons, and detailed descriptions of necessary facts and circumstances identifying the activity or the like that are considered to be retaliation. The complainant shall provide facts to prove that:
i) The complainant made a report or a protected disclosure with respect to specific misconduct;
ii) The complainant was under the influence of threatening, coercion or order not to make a report, or gave up making a report due to threatening; or
iii)The complainant rejected to obey an Illegal Order.

23.4.5.3 The provisions of the investigation regarding non-compliance apply mutatis mutandis to the investigation regarding Retaliation Complaint.

23.5 Forms

23.5.1 Whistleblower Report

23.6 Contacts

23.6.1 Policy Owner

COO
Dean of Research
Dean of Faculty Affairs

23.6.2 Other Contacts

The Office of Dean of Research

The Office of Dean of Faculty Affairs
Compliance Section
Grants and Research Collaborations Section
Business Development Section
Occupational Health and Safety Section

23.7 Definitions

23.7.1 Funding Agency

It means an agency that distributes grants or provides measures through competitive research funding or other open-recruitment type research funding.

23.7.2 Preliminary Investigation

It means an investigation consisting of a preliminary information gathering and a preliminary fact-finding investigation, based on which a determination as to whether a report of misconduct or a fact that is suspected to be misconduct has substance. Based on the results of a Preliminary Investigation, a decision whether to conduct a Substantial Investigation is made.

23.7.3 Substantial Investigation

It means an official investigation and evaluation of relevant facts in order to determine whether or not misconduct took place.

23.7.4 Groundless Report or Complaint

It is a report or complaint made through a major oversight in the fact, with an intentional falsity, or with a bad faith intention. Individuals who have made such reports or complaints may be subject to disciplinary actions by the University and/or legal claims by individuals wrongfully accused of such conduct.

23.7.5 Illegal Order

Any directive to violate or to assist in violating any applicable Japanese and local legal or regulatory provisions, or to violate or to assist in violating University Policies, Rules and Procedures (PRPs).

23.7.6 Misconduct

It means any activity undertaken by anyone affiliated with OIST Graduate University (University), including, without limitation, officers, employees, students, vendors, that violates any applicable Japanese legal or regulatory provisions, or violates Bylaws, University Rules, Policies, Rules, and Procedures (PRPs), (collectively, “non-compliance”), and misconduct

in research activities by these people. The scope of non-compliance includes public research fund misuse.

23.7.6.1 Non-compliance

It means any activity that contradicts with applicable Japanese legal or regulatory provisions or with Bylaws, University Rules or the PRPs.

23.7.6.1.1 Public Research Fund Misuse

It means any activity that violates the University's internal rules or Japanese legal or regulatory provisions by submitting falsified documentation for disbursement claim, such as obtaining deposit money taking advantage of a relationship with a vendor and receiving money based on false claims for business trip expenses, wages and other remuneration, and involves spending of the University's public research expenses sourced from operating expense subsidies and competitive research funding such as grants-in-aid for scientific research and sponsored research funding.

23.7.6.2 Misconduct in Research Activities

It means, in the conduct of research activities or activities to make the research results public, any act that distorts the essence or the spirits of these activities, and impedes normal scientific communication among the members of the scientific community. Specifically, acts that fall within the scope of misconduct include fabrication or falsification of data or results being obtained, plagiarism and an act that contradicts research ethics, but are not limited to these. Determination of misconduct will be made on a case basis and depend on the specific details of the case.

23.7.6.2.1 Specified Research Misconduct

It means fabrication, falsification and plagiarism relating to data, findings of study and the like which are present in research results published in a paper submitted to academic journals, which are caused by a willful act or gross negligence of due care that shall have been exercised by an ordinary researcher.

(i) **Fabrication:** It means making up data, research results, etc.

(ii) **Falsification:** It means manipulating research materials, equipment or processes, or changing data or results being obtained from research activities such that the research is not accurately represented.

(iii) **Plagiarism:** It is the appropriation of another researcher's ideas, analysis processes, data, results, manuscripts or words without obtaining consent from the researcher or giving appropriate credit.

In addition, misconduct in research activities are not limited to those fall under the Specified Research Misconduct.

23.7.7 Use of Official Authority or Official influence

It means to give an order, proposal, treatment or approval to give benefits or make a promise to give benefits, exercise retaliation or make a threat to retaliate, take personnel measures (including, but not limited to, appointment, promotion, relocation, selection, performance appraisal, suspension and other disciplinary actions) or an order, proposal, treatment or approval to have others to do any of these.

23.7.8 Protected Disclosure

Any good faith communication that discloses or demonstrates an intention to disclose an alleged misconduct.

23.7.9 Retaliation Complaint

It means a complaint made by an employee or a third party claiming that a retaliation against a Protected Disclosure or the rejection to an Illegal Order has been made, or a complaint made by an employee or a third party claiming that an interference was made in the course of making a Protected Disclosure, which is submitted in writing along with a statement that the contents of the complaint are true or a statement that the complainant believes that the contents of the complaint are true.

Authority: Approved by the President

Chapter 24. Childcare Services

24.1 **Policy**

The OIST Graduate University (hereinafter "the University") recognizes the critical needs of the university staff, students, and visitors with children for international and high-quality pre-school and after-school/holiday education services. To meet such needs is one of the basic functions which the University must fulfill to attract and retain the best talent, enhance the wellbeing of the University community and thereby achieve the missions of the University.

The University provides the pre-school and after-school/holiday programs designed to meet such needs as much as possible by establishing and operating the OIST Child Development Center (CDC). The services are provided at dedicated, safe facilities on campus. While the CDC is established as a part of the University, it has a semi-autonomous decision-making body, the CDC Governing Board, with representation from the relevant administrative divisions of the University, the CDC management and the OIST Child Care Association [link:]. Please refer to the Bylaws (terms of reference) of the Governing Board [link:] for its responsibilities and membership. The CDC Governing Board reports to the University President who reports to the Board of Governors of the OIST School.

The services must be offered based on fair and transparent rules set forth by the Governing Board. The University's equal opportunity and diversity policy [link:1.3] must be applied in developing and implementing such rules.

24.3 **Rules**

24.3.1 **Governing Rules**

24.3.1.1 In addition to what is provided for in this chapter, operational matters of the CDC are governed by the Bylaws of the Governing Board [link:] and other detailed stipulations developed and maintained by the Governing Board. For the matters not provided for by such rules, the general university policies and rules apply.

24.3.1.2 Establishment and amendment of the Bylaws do not become effective until a final approval has been made by the President.

24.3.1.3 The President may request the CDC Governing Board to make amendments of its Bylaws, when the President finds it necessary.

24.3.2 **Budget and Accounting**

24.3.2.1 The Governing Board must request annual budget for operation of the CDC and its revision to the President every fiscal year in accordance with the general budget request procedures. [link: 27.5] When making a budget request, a proposal of fee structure and estimated annual revenue must also be submitted to the President for its approval.

24.3.2.2 Funds to be allocated to CDC might consist of several different source of funding including the Subsidy for Operations. The Governing Board is responsible for confirming the constraints of use of each source of funding and reflecting it to the business plan and implementation.

24.3.2.3 As a budgetary unit[link: 27.3.2], the Governing Board is responsible for management and implementation of the allocated budget for the CDC.

24.3.2.4 Budget and accounting of the operational expenses of the CDC must be dealt with separately from other operational expenses of the University except for the expenses for which such separation is not practical (i.e. routine facility maintenance, utility and security expenses etc.).

24.3.3 **User Eligibility**

24.3.3.1 Staff and students. Any University employees, including temporary staff dispatched from an agency under an hourly-fee contract (excluding contractor or vendor employees), and students are eligible to enroll their children in the CDC. Priority may be given to specific groups based on the policy and rules adopted by the Governing Board.

24.3.3.2 Visitors. Visiting faculty, lecturers, students, participants in events held on campus and other kinds of guests also have access to the CDC programs for their children. Priority may be given to the University staff and students or specific visitor categories based on the policy and rules adopted by the Governing Board.

24.3.3.3 Others. In addition to those specified in preceding paragraphs, staff of contractors (vivarium, cleaning, café, etc.), volunteers, and others working on campus may be given access to the CDC programs if the Governing Board considers it necessary.

24.4 **Responsibilities**

24.4.1 **President**

The President of the University is responsible for ensuring the provision of high-quality and international pre-school and after-school/ holiday programs by securing and allocating appropriate financial and other resources for the CDC. The President must receive and forward periodical reports from the Governing Board on CDC operation to the Board of Governors of the OIST School Corporation.
The President approves annual business and budget plans of the CDC.

24.4.2 **Governing Board of the CDC**

The Governing Board of the CDC is responsible for overall management of the CDC operations, including the following matters:

- Maintain, and suggest amendments to the President as necessary, these Bylaws.
- Ensure that the operation of the CDC meets all national and local compliance and safety standards.
- Select the Director of the CDC to be appointed by the President.
- Make annual business plan and budget request, including fee structure and revenue estimation and its revision, to the President.
- Submit annual business and budget plans of the CDC to the President and monitor the implementation of the plans.
- Submit annual reports, due at the end of April, to the Board of Governors of the OIST School Corporation through the President.

See the Bylaws of the Governing Board [link] and "CDC Pre-school Handbook" [link:] for details.

24.4.3 **Users of the CDC**

Users of the CDC are responsible for supporting the CDC operations by sending their feedback to the Governing Board through their OIST Child Care Association representatives and by participating in CDC events. CDC users must bear the cost of services based on the fee structure maintained by the Governing Board and approved by the President. In situations of financial hardship, the Governing Board may elect to partially or fully waive the fees.

24.5 **Procedures**

24.5.1 Pre-School Program

- Submit Application Form and Health Screening Form to the CDC
- See "CDC Pre-School Handbook"[Link:] for detail rules, procedures, educational program and fee structure

24.5.2 After-School/Holiday Program

- Contact the CDC office for application

24.6 **Forms**

24.6.1 Application Form for Pre-school Program [link:]

24.6.2 Health Screening Form for Pre-school Program [link:]

24.7 **Contacts**

24.7.1 **Policy Owner**:
The President

24.7.2 **Other Contacts**:
The Governing Board of the OIST CDC and the OIST Graduate University CDC

Authority: Approved by the President

Chapter 25. Housing

25.1 Policy

25.1.1 The University undertakes to provide housing on campus for approximately half of its academic population. The objective is to provide housing for all incoming students during their first year at the University, and for most incoming researchers and faculty, to ease their transition to life in Okinawa and at the University. The expectation is that some faculty and researchers will choose instead to live off campus. After the first year, students can choose to remain on campus or move off campus. When no appropriate on campus housing is available for an employee, and if the CEO/President identifies the employee as one who should reside adjacently to the campus to accomplish her/his duty, the University may rent off campus housing for the employee, which is designated in advance by the University. This policy enables the University to provide sufficient housing and related facilities for incoming members of the academic population, while still providing business opportunities for Okinawa developers, landlords and real estate companies to benefit from the presence of the University and its researchers in Okinawa.

25.1.2 Campus housing is made up of a mix of apartments and houses intended to cater to a range of academic residents, from single students sharing an apartment, to researchers and faculty members who have partners and children living with them.

25.1.3 Housing and related welfare facilities are designed to make life comfortable for residents from a wide range of nationalities, backgrounds and age-groups. The buildings are designed to suit the climate and environment of the campus, within the limits of the budget available for their development.

25.1.4 All academic members of the OIST population are eligible to apply for residence in on-campus housing. Executives [link: 30.2.2.1.1] are also

eligible to live on campus, but administrative staff are offered on-campus housing only by exception.

25.1.5 Housing is provided on a subsidized basis. In principle, residents are responsible for 20% of the rent amount of their housing, with the balance provided by OIST, subject to established limits.

25.1.6 Residents are responsible for all utility costs incurred in their apartments or houses.

25.2 General considerations

25.2.1 The housing at OIST has been developed under a Public Private Partnership with Okinawa Scientists Village Co., Ltd (the Developer). Under the terms of the Project Contract between OIST and the Developer, the housing has been designed and constructed by the Developer to a specification agreed between the two parties. Upon completion of the buildings, ownership has been transferred to OIST, and OIST has entered into a Master Lease with the Developer to operate and maintain the housing on behalf of the university for a period of 30 years. In principle, the Developer's sole source of income is the rental fees derived from the use of the housing by members of the university. To ensure the commercial viability of the project for the Developer, OIST has given an undertaking to maintain an agreed level of occupancy in the housing.

25.2.2 Notwithstanding the above (25.2.1), certain costs for long-term renovation of the housing are to be borne by OIST, in accordance with provisions set out in the Project Contract between OIST and the Developer.

25.2.3 In principle, housing is provided on an unfurnished basis. However, OIST has furnished a number of apartments and houses for use by incoming students, researchers and faculty without their own furniture. A separate monthly charge is made by the university to residents in furnished housing to recover the replacement cost of the items installed.

25.2.4 A limited number of furnished houses and apartments are held by the university for short-term use by visiting faculty and researchers. Eligibility and conditions are set out in 21.3.1.2. [link: 21.5.4].

25.2.5 Off-campus housing may be rented by the university for Officers

and employees. Eligibility and conditions are set out in Off-campus Rental Housing Regulations [link: *******].

25.3 Rules

25.3.1 People who may be residents

25.3.1.1 The people who may be residents of campus housing are as follows.

1. Senior level executives of the University [link: 30.2.2.1.1]
2. Faculty, researchers and students of the University
3. Apart from the people above, people whose residence the President has authorized

25.3.1.2 Provision of housing for Full-time Officers(the CEO/President, Vice-CEO and Full-time Auditor) is as follows.

1. The university rents the President's House to the CEO/President.
2. The university rents On-Campus housing to the Vice-CEO and Full-time Auditor.
3. The university may rent Off-Campus housing for Vice-CEO and Full-time Auditor under special circumstances approved by the CEO/President.

25.3.2 Co-residents

25.3.2.1 The scope of people who are allowed to live with residents of campus housing is limited to the family / partner of a person stipulated in 25.3.1 or a person stipulated in 25.3.1 (as a room share mate).

25.3.2.2 OIST may recognize co-residence in campus housing by people other than those stipulated in 25.3.2.1 with the approval of the Vice President, Buildings and Facility Management in cases of special circumstances.

25.3.3 Use based on sub-lease

The following people can use campus housing (excluding Seaside Faculty Housing) on a sub-lease basis where OIST is the sub-lessor.

1. Faculty of OIST
2. Students of OIST

3. Apart from those above, people the President has authorized

25.3.4 Selection and authorization of residents

The Vice President, Buildings and Facility Management authorizes residency and people who apply first are given priority in selection for residency, although exceptions may apply.

25.3.5 Cancellation of authorization of residency

If people whose residency has been authorized do not take up residence by the predetermined date without legitimate reason, or if it becomes clear that there are false statements in the documents submitted at the time of application, OIST will cancel their authorization of residency.

25.3.6 Conclusion of a lease contract and contract period

Excluding cases of use of Seaside Faculty Housing, residents must conclude a lease agreement with the Developer (with OIST in cases based on sub-lease) by the date they take up residency. Please check here [link:] for a standard lease agreement.

The lease agreement period is one year and this period shall be renewed automatically in the absence of notice.

25.3.7 Payment of rent, etc.

Excluding cases of use of campus housing based on a sub-lease with OIST and cases of use of Seaside Faculty Housing, residents must pay rent, etc., from the predetermined date of entry to residence until the date they leave by the method stipulated in the lease agreement [link: 25.6.3]. Please refer to 34.3.5.2 Housing allowance [link: 34.3.5.2] with regard to the amounts of housing allowance provided by OIST to residents.

In cases of use of campus housing based on a sub-lease with OIST, OIST will collect as a usage charge. (The calculation method conforms to the provisions of 35.3.3.3.2 Off-Campus Rental housing [link: 35.3.3.3.2].)

The amounts of usage charges in cases of use of Seaside Faculty Housing are stipulated in 35.3.3.3 Usage charges [link: 35.3.3.3].

Rent, etc., in cases where students reside in campus housing is stipulated in 5.4.4 Student accommodation [link: 5.4.4] or 5.5.2.1.1.3. (Irregular student) Accommodation [link: 5.5.2.1.1.3].

25.3.8 Furniture usage charges

People residing in furnished rooms must conclude a furniture agreement with OIST and pay furniture usage charges by the method [link:] stipulated in [link:

25.6.4]. Please check here [link:25.6.4] for a standard furniture agreement.

25.3.9 Cost burden

Residents must bear the cost of electricity, gas and water, etc., that they use.

25.3.10 Residents' management obligations

25.3.10.1 Residents must use campus housing with a good manner.

25.3.10.2 Residents must not lease out or make available for a use other than as a residence all or part of their campus housing to a third party, and must not modify, remodel or carry out any other construction work on said campus housing.

25.3.10.3 If a resident damages or defaces campus housing deliberately or due to gross negligence, he or she must return the campus housing to its original state or compensate for the cost of doing the same.

25.3.11 Leaving

25.3.11.1 Residents must leave campus housing when they fall under any of the following categories.

25.3.11.1.1 When their period of residence expires

25.3.11.1.2 When they have resigned

25.3.11.1.3 When it is necessary due to reason of OIST's work

25.3.11.1.4 When OIST has instructed a resident to leave because the resident has violated the provisions of this chapter or the reason for their residence has ceased to exist

25.3.11.2 Residents must not invoice OIST for eviction fees, etc., as a condition for vacating campus housing.

25.3.12 Residential guide

Residents of campus housing (excluding Seaside Faculty Housing) must read and understand the residential guide provided by the Developer [link:].

25.4 Responsibilities

25.4.1 Vice President, Buildings and Facilities Management

The Vice President, Buildings and Facilities Management have general charge of

the maintenance, operation and management of campus housing.

25.4.2 Facility Management Section

Facility Management Section is in charge of the maintenance, operation and management of campus housing under the instructions of the Vice President, Buildings and Facilities Management. This section is also the contact point for OIST with the Developer.

25.4.3 Residents

Residents must execute faithfully the duties stipulated in this chapter, the lease agreement [link: 25.6.3] and the furniture agreement [link: 25.6.5] (if using furniture).

25.4.4 The Developer (Okinawa Scientists Village, Co., Ltd.)

The Developer is entrusted with work related to the maintenance, operation and management of campus housing based on the business contract concluded with OIST.

25.5 Procedures

25.5.1 Residency applications

People who wish to reside in campus housing must submit the prescribed application form of campus housing[link:25.6.1] to Facility Management Section.

25.5.2 Leaving notices

Residents must submit the prescribed request form of leaving and pay agreement [link:25.6.2] to Facility Management Section at least one month in advance if they intend to leave campus housing for their own reasons.

25.5.3 Advance notice of an order to leave

If OIST requires a resident to leave campus housing based on 25.3.11.1.3, it must notify the resident at least six months in advance.

25.6 Forms

25.6.1 Application Form of Campus Housing

Please inquire with Facility Management Section with regard to Application form of campus housing [link:].

25.6.2 Request Form of Leaving and Pay Agreement

Please inquire with Facility Management Section with regard to request form of leaving and pay agreement [link:].

25.6.3 Lease agreement

Please check here [link:] for a standard campus housing lease agreement.

25.6.4 Furniture agreement

Please check here [link:] for a standard furniture agreement.

25.7 Contacts

25.7.1 Policy Owner

Vice President, Buildings and Facilities Management

25.7.2 Other contacts:

Facility Management Section

25.8 Definitions

25.8.1 Campus housing

The campus housing provided at OIST is as follows.

- Village Center
- West Court
- East Court
- South Hill
- Hillside Faculty House
- Seaside Faculty House
- President's House

25.9 Appendices

- Campus Housing Information (room types / sizes, rents, etc.) [link:]

Authority:

- Approved by the President
- Okinawa Institute of Science and Technology School Corporation Act

Chapter 26. Finance and Accounting

26.1 **Policy**

The Okinawa Institute of Science and Technology School Corporation (the "Corporation") relies upon the provisions of the Okinawa Institute of Science and Technology School Corporation Act in combination with policies, rules and procedures set out in this Chapter, in managing the financial affairs and accounting of the Corporation. This Chapter sets forth the financial and accounting standards, practice, and rules of the Corporation used to monitor its financial conditions and administrative performance and to assure the smooth operation of activities of the Corporation in support of the education and research missions of the OIST Graduate University (the University).

26.1.1 **Accountability & Transparency.**

The Corporation may prepare financial statements based on the internationally recognized accounting standard in addition to the ones based on the OIST School Corporation accounting standards stipulated by the Japanese government in order to gain its accountability and transparency to the international donors or provider of funds.

26.1.2 **Applicable Standards.**

The financial statements are prepared in accordance with applicable accounting standards relevant to OIST School Corporation.

26.2 **General Considerations**

26.2.1 **Fiscal Year**

The fiscal year of the Corporation shall commence annually on April 1 and end on March 31 of the following year.

26.2.2 **Chief Administrator in Charge of Accounting**

The CEO/President shall be responsible for financial affairs and accounting of the Corporation. The CEO/President may have the Chief Operating Officer (hereinafter referred to as "COO") conduct the duties in part.

26.2.2.1 The Vice President for Financial Management shall have jurisdiction over the financial and accounting affairs of the Corporation under the supervision of the CEO/President and the COO.

26.2.3 **Titles of Accounts**

The accounting of the Corporation shall be handled in accordance with the titles of accounts[link: http://iwww.oist.jp/document/prp-aux/26.2.3_ titlesofaccounts_en.pdf] as separately stipulated.

26.2.4 **Accounting Books and Vouchers**

The Corporation shall, through accounting books and vouchers, record and maintain accurate records of all required matters in an orderly fashion.

26.2.4.1 The formats, types, forms and retention periods of accounting books and vouchers shall be as separately stipulated. (Refer 26.2.5 Books & Ledgers [link:], 26.2.6 Vouchers [link:]、26.3.9 Storage of Documents [link:])

26.2.4.2 Accounting books and vouchers may be recorded and stored in any electronic media.

26.2.5 **Books & Ledgers**

The accounting books stated in 26.2.4.1[link: 26.2.4] are as follows:

(1) General Ledger
(2) Table of Budget Execution Status
(3) Subsidiary Book
  A. Cashbook
  B. Fixed Asset Ledger
  C. Petty Cashbook

26.2.6 **Vouchers**

The vouchers stated in 26.2.4.1[link: 26.2.4] are as follows:

(1) Transfer vouchers
(2) Receiving vouchers
(3) Disbursement vouchers
(4) Revenue vouchers
(5) Expense vouchers

26.2.7 **Preparation of Vouchers**

To prepare the vouchers, date of preparation, account title, business partner, sum, details of transaction, and other necessary items of information shall be specified based on the related straight documents with the evidential documents concerning the transaction attached.

26.2.7.1 Contractual documents, invoices, billing statements, and other similar documents shall constitute the evidential documents stated in the above section.

26.3 **Rules**

26.3.1 **Accounting Procedures and Handling of Money**

For purposes of this Chapter, “money” and “securities” shall be defined as follows:

“Money” shall mean any cash (including checks, postal money orders, transfer slips and payment notes) and deposits (including postal deposits and money in trust).

“Securities” shall mean any national and local government bonds, government-guaranteed bonds (which refer to bonds refund/payment of principal/interest of which is guaranteed by the government) and other securities designated by the Prime Minister.

26.3.1.1 Accounting Supervisor

Authority and Responsibilities:

The Accounting Supervisor who shall be responsible for overall accounting shall, accurately and promptly, execute accounting transactions including the execution of budget and is responsible for receiving and paying.

The Vice President for Financial Management shall serve as the Accounting Supervisor of the Corporation.

26.3.1.1.1 The Accounting Supervisor may cause any other staff(s) to handle any part of his or her business.

26.3.1.1.2 In the event that the Accounting Supervisor is unable to act, a person designated by the COO shall act on his behalf.

“Unable to act” shall be those cases falling under the category of the following.

(1) In case of a vacancy for Accounting Supervisor

(2) When the Accounting Supervisor cannot engage in duties for a long period due to days off, holidays, vacation, illness, etc.

(3) During long-term travel on business

26.3.1.2 Receiving and Paying and Supervisor for receiving, paying and custody of money

Receiving, paying and custody of money shall be performed by the Supervisor for receiving, paying and custody of money who is under direct control of the Accounting Supervisor.

26.3.1.2.1 The manager in charge of receiving, paying and custody of money in the Accounting Section shall serve as the Supervisor for receiving, paying and custody of money of the Corporation.

26.3.1.2.2 The Supervisor for receiving, paying and custody of money shall not receive or pay any money or security that is not relevant to the business of the Corporation.

26.3.1.2.3 The Supervisor for receiving, paying and custody of money shall be authorized to designate a Cashier from among the personnel in the section and mandate the personnel to engage in accounting and disbursing duties.

26.3.1.3 Transactions with Financial Institutions

The Accounting Supervisor shall be in charge of the procedures for opening or closing an account in banking institutions.

26.3.1.3.1 Bank accounts shall in principle be opened in the name of the CEO/President.

26.3.1.3.2 The Supervisor for receiving, paying and custody of money shall keep the banking seals and be in charge of sealing.

26.3.1.4 Custody of Cash

The Supervisor for receiving, paying and custody of money shall deposit all cash excluding the minimum petty cash with financial institutions, etc.

26.3.1.4.1 Securities shall be, in principle, deposited for safekeeping.

26.3.1.4.2 The Supervisor for receiving, paying and custody of money shall manage cash and bank passbooks, making assurance doubly sure of keeping them in the safest place.

26.3.1.4.3, the cashbooks stipulated in 26.2.5[link: 26.2.5] must be updated and maintained, writing up the book for each receipt or payment.

26.3.1.4.4 Securities shall be managed for safekeeping in like manner as stated in 26.3.1.4 when they are held on hand notwithstanding the provisions of 26.3.1.4.1.

26.3.1.4.5 Postage stamps, cash vouchers, and certificate stamps authorized by the Corporation shall be kept in trust pursuant to cash.

26.3.1.4.6 In terms of 26.3.1.4.5, the receipt-payment books must be updated, writing up the book for each receipt or payment.

26.3.1.5 Petty Cash

The Accounting Supervisor shall be authorized to keep petty cash for small and urgent payments.

26.3.1.5.1The management stated in 26.3.1.5 shall be prescribed by from 26.3.1.6 to 26.3.12.

26.3.1.5.2 In terms of 26.3.1.5.1, the petty cashbooks stipulated in 26.2.5 shall be updated and recorded in the ledger for each receipt or payment.

26.3.1.6 Petty Cash Supervisor and Petty Cash Clerk

The receipt and payment of petty cash shall be conducted by the Clerk for Receipt and Payment of Petty Cash (hereafter, "Petty Cash Clerk") under the supervision of the Supervisor for receiving, paying and custody of money .

26.3.1.7 Establishment of Petty Cash

When the Accounting Supervisor determines that the establishment of petty cash is necessary, the Accounting Supervisor must report to the COO for approval, specifying the petty cash limit and the required management items.

26.3.1.7.1 When the COO approves the establishment of petty cash under the provisions of 26.3.1.7, the Petty Cash Clerk must submit a petty cash invoice to the Supervisor for receiving, paying and custody of money.

26.3.1.7.2 Petty cash shall not exceed 200,000 yen.

26.3.1.8 Receipt, Payment and Custody of Petty Cash

The Petty Cash Clerk must not mix Petty Cash with personal funds, and must strictly conduct the receipt, payment and custody of petty cash.

26.3.1.8.1 The Petty Cash Clerk must record all receipts and payments in the petty cash ledger, and check actual cash on hand against the ledger balance monthly.

26.3.1.9 Petty Cash Payments

Petty cash payments shall be limited to urgent cases and situations where payment in cash is necessary, and shall not exceed truly necessary amount for the business purposes.

26.3.1.9.1Petty cash payments shall be made in exchange for receipts from the parties receiving payments.

26.3.1.9.2 Before making payments, the Petty Cash Clerk must confirm that these are for expenses that should be borne by the Corporation by having the parties receiving payments display the items being sold or otherwise show the reasons for payment.

26.3.1.9.3 Petty cash payments shall not be issued for repayments in cases when specified procedures are required.

26.3.1.10 Petty Cash Receipts and Payments Reports, and Requests for Funds
The Petty Cash Clerk must prepare a Petty Cash Receipts and Payments Report at the end of each month attaching receipts or other documents as evidence of the payments specified in 26.3.1.9, and have said report approved by the Supervisor for receiving, paying and custody of money.

26.3.1.10.1 After approving a Petty Cash Receipts and Payments Report specified in 26.3.1.10, the Supervisor for receiving, paying and custody of money must present the report and a copy of the Petty Cash Ledger to the Accounting Supervisor, together with a request for funds for the subsequent month.

26.3.1.11 Termination of Petty Cash
When the Accounting Supervisor determines that the maintenance of petty cash is no longer necessary, the Accounting Supervisor must report this determination promptly to the COO for approval.

26.3.1.11.1 If the COO approves discontinuance of Petty Cash, the Accounting Supervisor must require the Supervisor for receiving, paying and custody of money to carry out termination procedures.

26.3.1.11.2 The Accounting Supervisor must report to the COO when the termination of Petty Cash is accomplished.

26.3.1.12 Supervision and Inspection of Petty Cash
The Supervisor for receiving, paying and custody of money must carry out the required supervision and inspection work to secure appropriate accounting of petty cash.

26.3.1.13 Procedures for Receiving and Paying Money

The Supervisor for receiving, paying and custody of money shall receive or pay money in accordance with a voucher created based on necessary evidential documents.

26.3.1.14 Occurrence of Receivables

In any event that creates receivable claims occurs, the Accounting Supervisor shall confirm the occurrence of receivables and request the obligor to perform the obligation.

26.3.1.15 Notice of Receivables

Accrual of receivables contributing to revenue known to personnel other than the Accounting Supervisor must be reported in writing to the Accounting Supervisor accordingly.

26.3.1.16 Call for Performance of Obligation

The Accounting Supervisor must issue the billing statements for collection of payments as in the appendix[link: http://iwww.oist.jp/document/prp-aux/26.3.1.16_bill.doc]. However, this rule shall not be applicable to cases stated in the following:

(1) When sending by postal service or passing in person the transfer request in advance (for expenses such as dissertation course fee and tuition for classes)

(2) When payment is made in cash

(3) When the Accounting Supervisor specifically recognizes the omission as necessary

26.3.1.17 Receipt of Payment

The payment must be in principle transferred to the relevant bank for the Supervisor for receiving, paying and custody of money to receive it. However, payment can be made otherwise including cash payments if authorized by the Accounting Supervisor as a job-related necessity.

26.3.1.17.1 The Supervisor for receiving, paying and custody of money must deposit the cash received in the relevant bank under the proviso as stated in the preceding section swiftly unless specifically authorized by the Accounting Supervisor.

26.3.1.18 Collection Notice

The Accounting Supervisor shall send a collection notice to an obligor of any overdue payment immediately after such payment becomes due and payable and ensure the receipt of any payment.

26.3.1.19 Debt Forgiveness

The Accounting Supervisor shall obtain the approval of the COO for any forgiveness or change of effect of any receivables in whole or in part, other than important assets.

26.3.1.20 Issuance of Receipts

The Supervisor for receiving, paying and custody of money shall issue a receipt in a separately prescribed form[link: http://iwww.oist.jp/document/prp-aux/26.3.1.20_ Receipt.doc] for any money received.

26.3.1.20.1 If any money is received through a direct deposit to a financial institution, etc., the issuance of a receipt prescribed in 26.3.1.20 may be omitted.

26.3.1.20.2 The issuance and management of receipts shall be strictly made.

26.3.1.20.3 Receipts shall be stamped with both stamps of the Supervisor for receiving, paying and custody of money and the Cashier.

26.3.1.20.4 For re-issuance, the payment receipt must be confirmed by accounting slip marked with "REISSUE", the copy of which to be filed together with the copy of the confirmation slip that verifies the receipt.

26.3.1.21 Receipt Management

The Supervisor for receiving, paying and custody of money shall be in charge of managing receipts.

26.3.1.21.1 The Supervisor for receiving, paying and custody of money must manage receipts by sequence number in the receipt-payment books.

26.3.1.22 Determination of Payment

The Accounting Supervisor shall be aware of all obligations through the inspection, etc., and order the Supervisor for receiving, paying and custody of money to make a payment in accordance with the relevant payment terms.

26.3.1.23 Method of Payment

The Supervisor for receiving, paying and custody of money shall make a payment, in principle, by a direct deposit to a financial institution, etc. Notwithstanding the foregoing, a payment may be made by handing out cash if necessary, including in the case of payment to a staff and a petty cash payment.

26.3.1.23.1 The Supervisor for receiving, paying and custody of money shall collect a receipt for any payment. If the payment is made by a direct deposit, the bank deposit slip may suffice in lieu of a receipt.

26.3.1.24 Date of Payment

Payment shall be in principle made monthly with the closing date at the end of the month and settlement at the end of the subsequent month unless otherwise specified. However, the following shall be paid on the set date:

(1) Payroll

(2) Travel expenses, honoraria and rewards

(3) Utilities with due date, foreign remittance, etc.

(4) Travel expenses and honoraria for foreign lecturers and speechmakers

26.3.1.24.1 The payment shall be made on the previous business day if the date of payment stated in the preceding section does not fall on a business day of the relevant banking institution.

26.3.1.25 Receipt Collection Duty of Proxy Receiver

The personnel receiving the payment on behalf of the creditor must obtain receipt from the creditor, which must be submitted to the Accounting Supervisor.

26.3.1.26 Money in Custody, etc.

The Accounting Supervisor shall process any money received or paid by the Supervisor for receiving, paying and custody of money that shall not fall under any income or expenditure of the Corporation as money in custody or payment in place of others. In principle, no money in custody shall bear any interest.

26.3.1.27 Advance Payment

An advance payment may be made only in the case separately stipulated by VPF,, if necessary due to the nature of the payment or for business purposes[Link: Guidelines for Advance Payment and Payment on behalf of Corporation].

26.3.1.28 Payment by Rough Estimate

A payment by rough estimate may be made only in the case separately stipulated, if necessary due to the nature of the payment or for business purposes. The expenses for which payment can be made by estimate are as follows:

(1) Expenses for oversea travel

(2)Expenses specifically authorized as necessary by the Accounting Supervisor

The expenses paid by estimate must be promptly settled.

26.3.1.29 Payment on behalf of Corporation

Any staff of the Corporation may make payment on behalf of the Corporation only in the case separately stipulated by VPF, if necessary for business purposes [Link: Guidelines for Advance Payment and Payment on behalf of Corporation].

The advance payment must be promptly settled.

Exchange rate for settlement applies to our internal exchange rate of preceding month[Link:].

26.3.1.30 Immediate payment
Immediate payment may be made only in the cases stipulated separately by VPF, if necessary due to the nature of the payment or for business purposes. [Link: Guidelines for Immediate Payment]

26.3.1.31 Checking of Money
The Supervisor for receiving, paying and custody of money shall check the amount of cash in hand against the cashbook at the end of each month, and the balance of bank deposit, etc., against relevant accounting book at the end of each month.

26.3.1.32 Excess and Deficiency of Money
If any excess or deficiency of money is found, the Supervisor for receiving, paying and custody of money shall immediately investigate into the cause, report it to the Accounting Supervisor, and follow his or her instructions.

26.3.2 **Funds**
"Funds" shall mean any cash, deposits and securities that may be used for a payment.

26.3.2.1 Commission of Management of Funds
The management of funds shall be performed by the Vice President for Financial Management.

26.3.2.2 Short-term Loans
The Vice President for Financial Management may raise money to cover any temporary shortage of funds by obtaining short-term loans based on the approval granted by the CEO/President and the COO.

26.3.2.2.1 The Vice President for Financial Management shall, in principle, compile a cash flow projection under which any short-term loan may be paid back within the same fiscal year.

26.3.2.3 Long-term Loans

The Corporation shall receive approval from Prime Minister when borrowing funds with a payment period exceeding one year as stipulated in Article 10 of Okinawa Institute of Science and Technology School Corporation Act [link:].

26.3.3 **Fixed Assets**

Fixed assets shall include tangible fixed assets, intangible fixed assets, investments and other assets. With regard to Fixed Assets, the terms and definitions below are applicable:

(1) Real estate: Land, buildings, structures, and usufructs

(2) Movable property etc.: Small-sum equipment, fixed assets other than intellectual property rights and real estate etc., and books (Books managed as fixed assets, based on the Accounting Standard[Link: https://groups.oist.jp/dfa/accounting-standard-oist-sc] Article 42 of the University, shall be defined as the collection of the Library of the Okinawa Institute of Science and Technology Graduate University ("the Library") which acquired and managed by the Library.)

(3) Acquisition: Ownership or exclusive use of fixed assets and small-sum equipment (hereinafter referred to as "fixed assets etc.") from purchase, manufacturing, self-construction, donation, exchange, contribution, etc.

(4) Improvement: Implementing the necessary works for the operations of existing fixed assets to increase their value and performance

(5) Conservation: Appropriately maintaining fixed assets etc. in accordance with their purposes of use

(6) Transfer: Shifting the control of fixed assets etc. among Asset Use Supervisors

(7) Disposition: Selling, exchanging, disposing or donating fixed assets etc.

(8) Removal: Erasing the records of fixed assets etc. that have been disposed

26.3.3.1 Asset Management Supervisor

"Asset management" shall mean proper management of tangible and intangible fixed assets including acquisition, operation and disposition thereof through understanding the processes and conditions of receipt, payment and maintenance thereof.

26.3.3.1.1 The Asset Management Supervisor shall prepare the asset management ledger, execute the asset management, and make efforts to utilize assets in the most effective way for researches.

26.3.3.1.2 The manager in charge of asset management in the Accounting Section shall serve as the Asset Management Supervisor.

26.3.3.1.3 The Asset Management Supervisor may cause any other staff(s) to handle any part of his or her business.

26.3.3.1.4 In the event that the Asset Management Supervisor is unable to act, a person designated by the Vice President for Financial Management shall act on his or her behalf.

26.3.3.2 Fixed Assets Etc. Management Works

The Asset Management Supervisor shall conduct the following works concerning the management of fixed assets. (Asset management of books shall be governed by the PRP Chapter 6. University Library.)

(1) Grasping the usage conditions of fixed assets etc.

(2) Procedure of permission for the lending and disposition of fixed assets

(3) Arranging Asset Management Ledgers

(4) Giving instructions and advice regarding the daily management of fixed assets etc.

(5) Having Asset Use Supervisors specified in 26.3.3.3 inspect fixed assets each fiscal year, and summarizing the findings

26.3.3.3 Asset Use Supervisors

The Asset Management Unit is defined as the Research Unit, Section, Division or Office within the OIST School Corporation.

Asset Use Supervisors shall be the Faculty member for fixed assets in each research unit, Section Leader for fixed assets in each section, and Manager or a person in an equivalent position or above for fixed assets in each Division or Office (excluding fixed assets that are supervised by Section Leaders),except for following items..

(1)Asset Use Supervisor for the fixed assets etc. which are placed at shared space for common use is as follows.

① Furniture (Lab benches, Furniture, Shelves, etc.): The appropriate Section Leader of Buildings and Facilities Management Division

②Research Equipment (including refrigerators for research): appropriate Section Leader of office of the Dean of Research

(2) Asset Use Supervisor for the fixed assets etc. which are not yet occupied by specific users or were used by closed research units and until a new user is found is as follows.

①Furniture (Lab benches, Furniture, Shelves, etc.): The budget appropriate Section Leader of Buildings and Facilities Management Division

② Research Equipment (including refrigerators for research): The appropriate Section Leader office of the Dean of Research

③IT fixed assets etc. : The appropriate Section Leader of office of the IT Division

(3) Assets Use Supervisors for IT fixed assets, etc. shall be primarily Faculty member in each research unit, Section Leader in each section, and Manager or a person in an equivalent position or above in each Division or Office where

the IT fixed assets were purchased or transferred. (Asset management of IT fixed assets etc. shall be governed by the PRP Chapter 17. Information Technology and Security [link:].)

26.3.3.3.1 Asset Use Supervisors shall receive fixed assets etc. from the Asset Management Supervisor and work to have them used effectively in research activities etc.

26.3.3.3.2 Asset Use Supervisors must observe the following items in the use of fixed assets etc. in implementing their daily management.

(1) Clarify their conservation and usage conditions by using the asset management list

(2) Carry out minor repairs

(3) Devise the necessary measures to prevent fires, theft, loss, damage and other incidents

(4) Carry out inspections of fixed assets etc. and report findings

(5) Ensure the appropriate use of fixed assets etc.

26.3.3.4 Obligations of Fixed Asset Users

Fixed asset users must use fixed assets etc. under the management and supervision of Asset Use Supervisors and treat them with care as good stewards.

26.3.3.5 Asset Management Ledgers

The asset management ledgers specified in 26.3.3.2 shall be as follows:

(1) Fixed asset ledger

(2) Loan ledger

(3) Borrow ledger

26.3.3.5.1 Fixed asset ledgers must be recorded under the categories specified in Appended table[link: http://iwww.oist.jp/document/prp-aux/26.3.3.5.1_ CategoriesforFixedAssetsLodgers_en.pdf].

26.3.3.6 Acquisition and Recording in the Fixed Asset Ledger

When fixed assets etc. are acquired, the Asset Management Supervisor must record said assets etc. in the fixed asset ledger.

Provided, however, that if fixed assets are thrown in the ocean for marine observation on the basis that they are not intended to be salvaged because of its difficulty, the fixed assets are treated as consumables.

26.3.3.6.1 When movable property etc. is acquired, the Asset Management Supervisor hands over identification labels to Asset Use Supervisor after recording said property in the fixed asset ledger. Asset Use Supervisor must promptly attach identification labels to the acquired movable property etc..

26.3.3.7 Acquisition Prices

The acquisition prices of fixed assets etc. shall be as follows:

(1) For purchased assets, the purchase price and incidental expenses

(2) For self-constructed assets, the overall cost calculated as the sum of the proper cost prices

(3) For items donated or contributed, the fair assessed price based on market value, etc.

(4) For items acquired through exchanges, the book value of the assets given in exchange

26.3.3.8 Receipts of Donations and Exchanges

Receipts of donations and exchanges of fixed assets etc. must follow the prescribed procedures.

26.3.3.9 Repairs

The Asset Use Supervisor must conduct repairs that are necessary to maintain the functions of the concerned fixed assets.

26.3.3.10 Preservation of Rights

The Asset Management Supervisor must promptly register land, buildings and other fixed assets that require registrations etc. promptly after acquisition in accordance with the stipulations of the concerned laws to protect them from third parties.

26.3.3.10.1 The Asset Management Supervisor must implement the prescribed change procedures without delay whenever any changes arise to the items recorded in the registrations etc. specified in 26.3.3.10.

26.3.3.11 Insurance

The Asset Management Supervisor must consider securing property insurance and other necessary measures when deemed necessary for fixed assets subject to accidents and other damages.

26.3.3.12 Usage

Asset Use Supervisors must always know who are the users of fixed assets etc.

26.3.3.13 Transfer

When fixed assets etc. is necessary for transfer, current Asset Use Supervisor of the fixed assets etc. must consult with next Asset Use Supervisor on the transfer. The former Asset Use Supervisor must promptly apply for the transfer request to Asset Management Supervisor after the fixed assets etc. is transferred to the later

Asset Use Supervisor. Asset Management Supervisor must record the fixed assets etc. in the fixed assets ledger after receiving the transfer request.

26.3.3.14 Lending

When the lending of fixed assets, etc. is deemed necessary and this does not interfere with the works of the Corporation, the Accounting Supervisor may loan the fixed assets, etc. to other parties in accordance with the following procedures.

26.3.3.14.1 The lending of important assets requires the approval of CEO/President.

26.3.3.14.2 Lending Principles

Lending should be conducted with payment (hereinafter referred to as "paid lending"). However, lending may be conducted without payment (hereinafter referred to as "gratis lending") with the approval same as the provisions of 26.3.3.14 or 26.3.14.1 in any of the following cases

(1) When necessary for dissemination of public information regarding the Corporation's research findings or business, or otherwise necessary for the execution of the Corporation's business

(2) When lending fixed assets to national or regional public bodies, non-profit foundations, or corporations established under special acts, provided this does not interfere with the business of the Corporation

(3) When lending fixed assets to universities and other research and educational organizations, provided this does not interfere with the business of the Corporation.

26.3.3.14.3 Lending Procedures

When lending fixed assets under the provisions of 26.3.3.14 or 26.3.3.14.1, the Asset Management Supervisor must clarify the following items and devise the necessary measures for the loans.

(1) Reason for lending and name of borrowing institution

(2) Names and numbers of fixed assets being loaned

(3) Specifications of fixed assets being loaned

(4) Loan periods

(5) Places of use and names of borrowers of fixed assets being loaned

(6) Liability during loan period

(7) Other necessary items

However, these procedures may be omitted for items whose lending is clarified beforehand under sponsored research agreements.

26.3.3.15 Disposition

When the Asset Management Supervisor receives fixed assets etc. returned by Asset Use Supervisors, the Asset Management Supervisor must consider the usability of the said fixed assets, etc. for others also examine the necessity of disposition.

26.3.3.15.1 Unnecessary important assets which the Asset Use Supervisors deem to be of no effective use (hereinafter referred to as "determined unnecessary") may be determined as unnecessary by the approval of the CEO/President. Unnecessary fixed assets, etc. aside from important assets may be determined as unnecessary by the Accounting Supervisor.

26.3.3.15.2 The disposition of important assets must obtain an approval from the CEO/President. The disposition of fixed assets etc. aside from important assets must obtain an approval from the Accounting Supervisor.

26.3.3.15.3 Disposition Principles

The Asset Management Supervisor must sell off fixed assets that have been determined unnecessary under the provisions of 26.3.3.15.1. However, items that cannot be sold off may be disposed.

26.3.3.16 Loss, Damage and Theft

When Asset Use Supervisors discover that fixed assets etc. under their custody have been lost, damaged or stolen, they must promptly report to the Asset Management Supervisor, investigate the present conditions, and work to prevent impediments to the conduct of business, the expansion of damages, etc.

23.3.3.16.1 When the Asset Management Supervisor receives reports regarding fixed assets etc. specified in 26.3.3.16, the Asset Management Supervisor must promptly report to the Accounting Supervisor.

26.3.3.17 Sale

The Asset Management Supervisor must devise the necessary measures for conducting sales under the provisions of 26.3.3.15.3.

26.3.3.18 Gratis Ownership Transfer

Although in principle the provisions of 26.3.3.15.3 apply in general, the Asset Management Supervisor may transfer the ownership of fixed assets (excluding any important asset specified by Cabinet Office Ordinance) determined unnecessary under the provisions of 26.3.3.15.1, to institutions, organizations or individuals without compensation (hereinafter referred to as "gratis ownership transfer"), with the permission of the Accounting Supervisor, under any of the following

circumstances. However, gratis ownership transfer requires the approval of the CEO/President if the fixed assets are important assets.

(1) When necessary for dissemination of public information regarding the Corporation's research findings or business, or otherwise necessary for the execution of the Corporation's business

(2) When transferring ownership of fixed assets to national or regional public bodies, non-profit foundations, or corporations established under special acts

(3) When transferring ownership of fixed assets to relevant local bodies for the purpose of enhancing the relationships with OIST and the local community

(4) When transferring ownership of fixed assets to universities and other research and educational organizations

(5) When the removal costs clearly exceed the fixed assets' value

(6) When OIST students need to use the fixed assets for academic research after graduation

26.3.3.19 Removal

The Asset Management Supervisor must promptly remove fixed assets etc. under the following circumstances:;

(1) When they are lost from accidents, theft, etc.

(2) When they have been disposed of and their ownership rights are terminated; or

(3) When their use has ceased because they have become outdated or inappropriate.

26.3.3.20 Construction in Progress Account

Expenditures on facilities that are newly constructed, expanded or improved under construction contracts shall be recorded in the construction in progress account, and then transferred to the appropriate accounts without delay once they are provided for the conduct of business.

26.3.3.21 Capital Expenditures and Repair Expenses

Expenditures to improve the functions or extend the working lives of fixed assets shall be added to the price of the concerned fixed assets.

26.3.3.21.1 Expenditures to maintain and conserve fixed assets shall be handled as repair expenses.

26.3.3.22 Depreciation

Depreciation of any tangible and intangible fixed assets shall be calculated each fiscal year.

26.3.3.22.1 Depreciation Method

The initial month for the depreciation of depreciable fixed assets shall be the month in which said assets are acquired and begin to be used.

1. Depreciable assets shall be depreciated using the straight-line method.
2. The residual value of tangible fixed assets shall be 1 yen of memorandum price of the acquisition price, and the residual value of intangible fixed assets shall be zero.
3. The service life which is the basis for the depreciation shall be as specified by the Corporation Tax Law (Law No. 34 of 1965). However, the service life of depreciable assets acquired for special research purposes under sponsored research budgets etc. shall be the period until the sponsored research is completed. The service life of depreciable assets acquired through the donation of used assets etc. shall be calculated using the simplified method stipulated by the Ministerial Ordinance on the Service Life Etc. of Depreciable Assets (Ministry of Finance Ordinance No. 15 of March 31, 1965).
4. The accounting of other items not specified above shall be in accordance with laws and regulations, etc.

26.3.3.23 Valuation Losses

Extraordinary depreciation must be charged in cases when the functional value of fixed assets is conspicuously impaired because of the discovery of new technologies or other external developments that could not be foreseen when their service lives were estimated.

26.3.3.23.1 In cases when fixed assets are destroyed due to accidental events such as disasters and other incidents, the amount of the lost value must be deducted from the concerned assets' book value.

26.3.3.24 Report by Asset Management Supervisor

The Asset Management Supervisor shall, at each account settlement, report accounting information regarding fixed assets to the Accounting Supervisor.

26.3.3.25 Inspections

Asset Use Supervisors must inspect the conditions of tangible fixed assets in their custody once every fiscal year, confirm that their management conditions and ledger records are accurate, and report to the Asset Management Supervisor.

26.3.3.25.1 Regardless of the stipulations of 26.3.3.25, when the location of the assets, etc. is changed by moving of office or research laboratory or whenever deemed necessary the Asset Management Supervisor may instruct Asset Use Supervisors to implement inspections and submit reports.

26.3.3.25.2 When Asset Use Supervisors recognize any discrepancies between assets and their ledger records, they must investigate the causes of said discrepancies, report to the Asset Manager, devise countermeasures to address the cause of the discrepancies, and work to prevent recurrence.

26.3.3.26 Borrowed Assets

The Corporation must prepare management ledgers and otherwise handle borrowed assets in the same manner as fixed assets. However, this may be omitted in cases when assets are borrowed for temporary use.

26.3.3.26.1 Asset Use Managers must promptly report to the Asset Management supervisor when they borrow fixed assets etc.

26.3.3.27 Small-sum Equipment

The small-sum equipment shall mean movable property (excluding cash and securities) with an acquisition price of at least ¥100,000 and less than ¥500,000 that is expected to be used for at least one year.

26.3.3.28 High Liquidity Consumables

Among movable properties with acquisition prices of less than 100,000 JPY, those considered to have high liquidity (hereafter, "High Liquidity Consumables") require more appropriate management and use, in order to prevent misconduct. The Vice President for Financial Management shall separately specify the items and management procedure of High Liquidity Consumables. [Link;]

26.3.4 **Inventory Assets**

"Inventory assets" shall mean publications (printed material), research materials and inventories of merchandise and supplies.

26.3.4.1 Management of Inventory Assets

Budget supervisors[link: 27.4.4] shall prepare inventory asset management ledgers, record receipts and payments of such assets, and make clear the inventory balance at all times.

26.3.4.2 Physical Inventory Check and Report

Budget supervisors[link: 27.4.4] shall conduct a physical inventory check at the end of each fiscal year and report the result to the Accounting Supervisor.

26.3.5 **Account Settlement**

The purpose of account settlement is to clarify the financial conditions and administrative performance at the end of each fiscal year through organizing accounting records of the fiscal year.

26.3.5.1 Monthly Settlement of Accounts

To clarify monthly financial conditions, the Accounting Supervisor shall create the documents prescribed by 26.3.5.2.

26.3.5.2 Monthly Report

The documents stipulated in 26.3.5.1shall be those stated in the following:

(1) Compound trial balance

(2) Documents required to be submitted to the Board of Audit in accordance with Article 69 of the Accounting Proof Rules (Board of Audit Ordinance No. 3 of June 7, 1952)

26.3.5.3 Monthly Settlement of Accounts

The Accounting Supervisor must execute the steps stated in the following to prepare the monthly report stipulated in 26.3.5.1.

(1) Collating the compound trial balance and the Table of Budget Use Status

(2) Validation of details of receivables, payables, and suspense account

(3) Collating the fixed asset books and the fixed asset account ledger

26.3.5.4 Yearly Settlement of Accounts

The Accounting Supervisor shall perform required procedures for the yearly settlement of accounts, compile drafts of financial statements, etc. as prescribed by the Okinawa Institute of Science and Technology Act, and report them to the CEO/President.

26.3.5.4.1 The CEO/President shall determine such financial statements.

26.3.5.5 Financial Statements, etc.

The CEO/President shall submit to the Prime Minister the financial statements, etc., prescribed in 26.3.5.4 along with the Auditor's opinions within three (3) months after the closing of each fiscal year.

26.3.6 **Compensation Liability**

Officers and staffs of the Corporation (“officers and staffs”) shall comply with the laws and ordinances that are applied (*mutatis mutandis*) to the financial and accounting affairs of the Corporation and these Regulations, and perform their duties with the care of a good manager.

26.3.6.1 In the event that any officer or staff causes, either intentionally or by gross negligence, any damages to the Corporation in violation of 26.3.6, the officer or the staff causing such damages shall be liable to compensate such damages.

26.3.6.2 Report of Loss, etc.
Any loss or extinguishment of or damage to any of the Corporation's money, securities, fixed assets or any other assets shall be reported to the CEO/President, by the officer causing such damages if such damages are caused by an officer, or by the head of the department to which the staff causing such damages belongs if such damages are caused by a staff.

26.3.6.3 Determination of Compensation Liability and Compensation Order
The CEO/President shall determine the existence or non-existence of liability to compensate under 26.3.6.1 and 26.3.6.2 hereof and the amount thereof.

26.3.7 **Corporate Credit Cards**
In principle, the University makes payments by bank transfer after delivery of goods or completion of services, in order to minimize the risk in trading. However, for cases where payment by a credit card is necessary or required by the selected vendor, a corporate credit card can be used for the transaction in compliance with the University rules.

26.3.7.1 Types of Corporate Credit Cards
The University has three types of corporate credit cards: central corporate card, purchasing cards (P-cards), and individual corporate cards. Major features of each card type are summarized in the Table I below.

Table I: Major Features of OIST Corporate Credit Cards
＜See attached＞

26.3.7.2 Card Administrator
In order to administer appropriate usage of corporate credit cards, the University assigns one card administrator to each card type as follows.

Card type	**Central Corporate Card**	**P-card**	**Individual Corporate Card**
Card Administrator	VPF	VPF	VPF

26.3.7.3 Card User and Card Supervisor
University officer/staff eligible to use a corporate credit card (card user) and those eligible to supervise the usage (card supervisor) are defined by card type in the following table.

Card type	Central Corporate Card	P-card	Individual Corporate Card
Card User	Division of Financial Management staff	Staff different from, and assigned by, the card supervisor	President
Card Supervisor	Division of Financial Management Manager	Budget supervisor (VP level) or budget holder (Faculty, Section leader level)	Same as above

26.3.7.4 Application and Issuance of Corporate Credit Card

Card applications must be completed by the card supervisor and submitted to the relevant card administrator. For P-card applications by an AVP or Section Leader, approval of the relevant budget supervisor (VP level) is required upon application. The card administrator reviews applications for a corporate credit card and approves or rejects. If approved, a corporate credit card will be issued and delivered after the card supervisor has completed the appropriate training on corporate credit card usage, responsibilities, and accountability associated with the corporate credit card (Exception: central corporate card).

26.3.7.5 Corporate Credit Card Use Workflow

Card supervisors of a corporate credit card must use the card by following the workflow defined separately [link:].

26.3.7.6 Uses Allowed and Not Allowed

Corporate credit card usage is strictly limited to regular university-related business purchases and strictly prohibited for personal expenses and business expenses comingled with non-business expenses. Purchases must be approved in the ERP system prior to the transaction.

Central corporate card can be used upon request by a Unit/Section. In principle, the P-card and Individual Corporate Card Guideline [link:] applies regarding uses allowed with a corporate credit card. However, when it is not practical to apply the above Guideline, central corporate card can be used for transactions specifically authorized as necessary by the Accounting Supervisor or the person to whom the Accounting Supervisor delegates central corporate card related duties..

For P-cards and individual corporate cards, uses allowed and not allowed are detailed in the P-card and Individual Corporate Card Guideline [link:]. In case of

doubt, the card supervisor should confirm the eligibility of the transaction with staff in charge in the Division of Financial Management.

26.3.7.7 Responsibility

26.3.7.7.1 Card Administrator

The card administrator is responsible for overall administration of the relevant corporate credit cards (such as reviewing card applications, approving corporate credit card issuance, and terminating corporate credit cards) and monitoring of the compliance with policies, rules and procedures. In case of misuse, the card administrator will respond in accordance with Chapter 26.3.7.8 . The card administrator is responsible for developing, updating, and administering relevant guidelines.

26.3.7.7.2 Card Supervisor of P-cards and Individual Corporate Cards

The card supervisors of P-cards and individual corporate cards shall understand that expenses paid with the corporate credit card will be settled directly from the University account and that irregular use of these corporate credit cards brings an audit and financial risk to the University. It is the card supervisor's responsibility to ensure the corporate credit card is used in compliance with PRP Chapters 26 through 29, the P-card and Individual Corporate card Guideline [link:], and future stipulation relevant to the corporate credit card.

The card supervisors must reconcile all transactions with an approved Purchase Order number (PO#) and submit required documents by the deadline set in the workflow [link:]. The card supervisors must make sure all ordered goods and services are delivered by the end of the fiscal year by carefully monitoring the delivery status.

The University will hold the card supervisor fully responsible for all unauthorized transactions (See 26.3.7.6 Uses Allowed and Not Allowed), transactions followed by non-delivery of ordered items or services, and transactions without appropriate reconciliation with an approved Purchase Order number (PO#) by the document submission deadline. For such transactions, the card supervisor shall reimburse the amount to the University as soon as possible after the fact occurred. The University may agree with card supervisors in advance to deduct the amount from the card supervisor's salary if the reimbursement is not made in a timely manner.

26.3.7.7.3 Card User

The card user must carefully handle and store the card information. The card information should not be posted, emailed or visible in any place that is accessible by others. The card user may not share the card information with anyone else.

26.3.7.8 Misuse of Corporate Credit Card

Misuse of a corporate credit card, intentional or accidental, is a violation of the University PRP (See also Chapters 28.2.3 and 29.1). In case of misuse, the card administrator will issue a warning and may decide suspension of the corporate credit card. It may result in other disciplinary action depending on the seriousness of the violation, in accordance with PRP 38 "Discipline".

26.3.7.9 Lost or Stolen Corporate Credit Card

If a corporate credit card or card information is lost or stolen, the card supervisor shall immediately notify the card administrator, the card issuer, and the local police. The card supervisor is liable for the damage caused by a fraudulent activity, unless it is covered by the card issuer as described in card issuer's contract.

26.3.7.10 Returning P-card Information and Individual Corporate Cards

Card supervisors of P-cards and individual corporate cards must return the corporate credit card to the card issuer via the card administrator when:

26.3.7.10.1 The card supervisor leaves the University.

26.3.7.10.2 The card user of the P-card moves to another position in the University.

26.3.7.10.3 The University or the card issuer requests.

26.3.7.11 Cancellation of Corporate Credit Card

Corporate credit cards may be terminated at any time by the University.

26.3.8 **Miscellaneous Provisions**

26.3.8.1 Restatement of accounts

OIST may, on its own decision, prepare financial statements based on internationally recognized accounting standard in addition to the ones based on OIST regular accounting standards, in order to facilitate its understanding by international donors or provider of funds and increase accountability and transparency. These restatements would be controlled by accounting auditors.

26.3.9 **Storage of Documents**

Accounting books, vouchers and documents shall be stored for the following period:

(1) financial statements, etc. = permanently
(2) general ledger = 30 years
(3) other accounting books = 10 years
(4) slips and vouchers = 10 years

26.4 **Responsibilities**

26.5 **Procedures**

26.6 **Forms**

26.7 **Contacts**

26.7.1 Policy Owner: Vice President for Financial Management

26.7.2 Other Contacts: Accounting Section

26.8 **Definitions**

26.9 **Appendices & Table**
Appendices & Table[link:]

Authority:
- Approved by the President
- Private School Act

Chapter 27: Budget planning, execution and monitoring

27.1 Policy

The University's budget planning process aims at allocating its resources and at maximizing their utilization to achieve the University's strategic mission.

The goal of the budget execution monitoring is to provide accurate information to managers responsible for the use of the University's funds and to assist them in the exercise of their responsibility.

These two functions, planning and monitoring, also provide the President and the Board of Governors (BOG) and the Board of Councilors (BOC) with an analytical tool enabling them to oversee the financial operations, status, and health of the University.

The University has a responsibility to submit an annual budget plan to the BOG each year.

This policy outlines the University's annual budget process and describes the budget components and other related procedures integral to the process.

This policy applies to all University administrative divisions, research units and affiliated programs in their preparation and management of operating and capital budgets.

27.2 General Considerations

The budget breakdown structure is designed to reflect as much as possible the University organizational and management structure, allowing for a clear identification of responsibilities and accountabilities.

The exercise of budgetary responsibilities requires easy access to accurate and timely information on budget execution status. The University implements an ERP system that enables such access. Budget Supervisors and Budget Holders must be familiar with this system before accepting budgetary responsibility.

The President undertakes budget allocation upon delegation from the BOG, which has the ultimate authority and responsibility for the management and operation of the Corporation, through the Vice President for Financial Management, under the supervision of COO. The Vice President for Financial Management sub-delegates his

responsibility for budget planning and execution to the Vice President or equivalent (see 2.4.5 [link: 2.4.5]) accountable for budget execution.

Budget revisions and reallocations are possible after the initial budget allocation.

Income and Expenditure Budget consists the budget of the University. The budget of the University consolidates all University sources of funding, and all its operation expenses and capital expenditures, including building and facilities.

27.3 Rules

27.3.1 Budget term

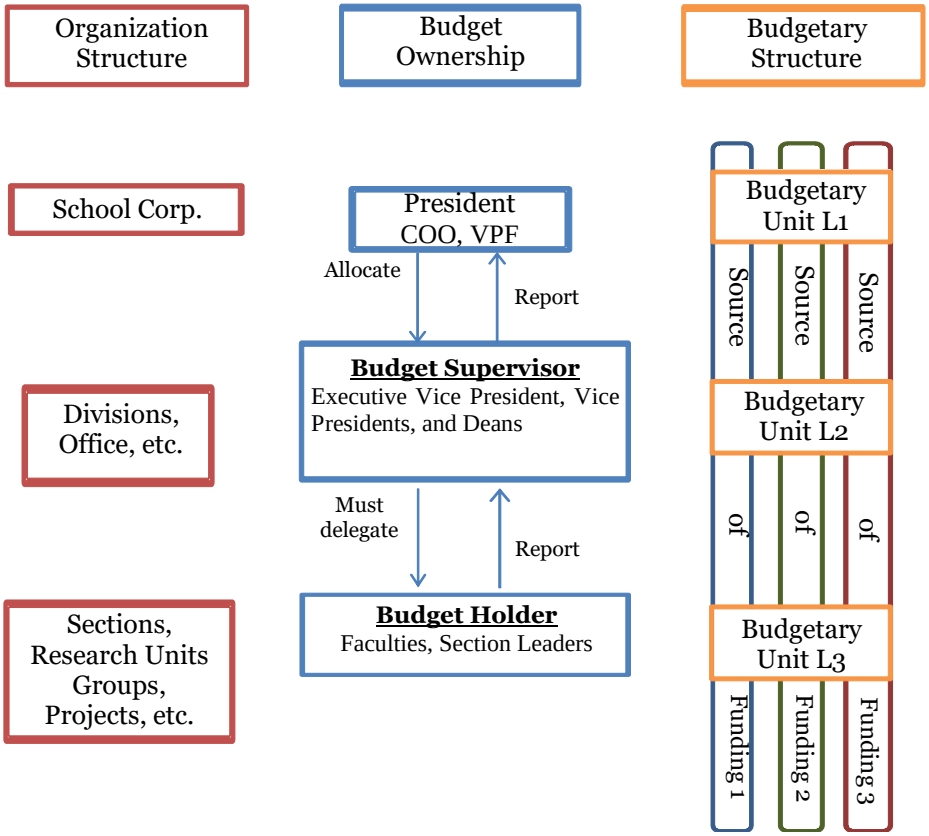
The budget term of the University is April 1st to March 31st.

27.3.2 Budgetary Breakdown Structure, Budgetary Units and budget authority

The budget of the University is compiled, executed and monitored according to a hierarchical structure, the Budgetary Breakdown Structure that reflects the University organization to the largest possible extent (fig. 1).

Figure 1

The Budget Breakdown Structure



Each Budgetary Unit is managed by a budget owner: "Budget Supervisor" at the Division level/Office equivalent or "Budget Holder" for Research Unit/Section level and below.

Budget Holders are responsible for the budget execution of his/her budgetary unit(s). **The responsibilities for the Division budget execution lies with the Budget Supervisor at the Division level (See Tab. 1).**

Table 1

Budget Supervisor's Title	Division/Office, etc.
Person designated by the chair of the BOG (VP or above)	Office, etc. under the Board of Governors Office
President	Office, etc. under the President
COO	Office, etc. under the COO
Executive Vice President for Technology Development and Innovation	Division, etc. under the Executive Vice President
Dean of the Graduate School	Office, etc. under the Dean of the Graduate School
Dean of Research	Office/Units, etc. under the Dean of Research
Vice President for Information Technology	Division, etc. under the Vice president
Dean of the Faculty Affairs	Office, etc. under the Dean of the Faculty Affairs
Vice President for Gender Equality and Human Resource Development	Division under the Vice President
Vice President for Financial Management	Division under the Vice President
Vice President for Communication and Public Relations	Division under the Vice President
Vice President for Buildings and Facilities Management	Division under the Vice President
Auditors	Office under the Auditor

Budget Supervisors (Vice President and equivalent) must distribute the budget at section level.

Regardless of the above, for external funding, such as Kakenhi and Funded Research, a grantee or a principal investigator of the contract becomes the Budget Holder.

In the event that a Budget Supervisor is unable to act or a position becomes vacant, the COO shall appoint a proxy to whom budgetary authority is formally delegated until the position has been filled.

27.3.3 Budget Breakdown Units

Budget Breakdown units are the lowest budgetary breakdown of the University for budget allocation and reporting. Budget Supervisors are responsible for defining the Budget Breakdown Units structure and denomination under the Section level of the organization.

Budget Breakdown Units have two functions: a) to provide a level of precision in the budget planning and budget execution that allows accurate monitoring and informed decisions and b) to facilitate adjustment of budget structure in

case of organizational changes by allowing redistribution of coherent Budget Breakdown Units that preserve tracking continuity and possibility of year to year comparison despite changes of perimeters.

27.3.3.1 Budget Breakdown Units attached to Sources of funding

The funding of the University comes from various sources with specific requirements and restrictions on how these funds may be used and reported. In order to facilitate recording and reporting of these funds utilization, it is necessary to create separate Budget Breakdown Units for each funding source. It is the responsibility of each Budget Supervisor and of the relevant sections leaders under his/her supervision[1] to inform the Budget Section when they receive external funding and to communicate corresponding recording and reporting requirements.

27.3.3.2 Combining different source of funding

Combining different source of funding is allowed unless it is prohibited by laws and/or the rules of particular subsidies, and other source of funding.

Budget Supervisors are responsible for confirming those constraints and informing the Budget Section.

27.3.3.3 Budget Breakdown Units attached to deposit in favor of Researchers, Students

Many subsidies, grants, scholarship etc. are granted to individual researchers but may be under the custody of their host institution which is required to manage the funds on their behalf. In such cases, funds are treated as deposits and their use is reported on behalf of the recipient. The Budget Supervisor of these external funding treated as deposits is responsible for informing the Budget Section of specific constraints before funds consumption actually occurs. Specific Budget Breakdown Units are created to enable the monitoring of these individual funds.

27.3.3.4 Budget Breakdown Units and coordinated projects

Specific activities or projects are carried out under the responsibility of a project manager/Budget Holder but require coordinated actions and spending from different part of the organization. In such case a specific Budget Breakdown Unit is created within the section of the Budget Holder of the project, with a budget to which other sections involved in the project may access. This allows the project manager to monitor the project budget execution despite the diversity of spending sections.

[1] The Sponsored Research Section works particularly closely with the Budget Section to ensure timely and accurate reporting to funding agencies.

The Budget Supervisor of the section holding "project Budget Breakdown Units" is responsible for communicating its specific requirements, use restrictions or other information to the "Budget Section".

27.3.4 Main Budget categories for expenditure

27.3.4.1 Budget categories for subsidies for operation and subsidies for construction

The University uses several main budget categories for compilation and monitoring of its budget allocation and execution. These categories may vary with different sources of funding (see 27.3.4.2 [link: 27.3.4.2]).

Categories "by default" for subsidies for operation and all other unrestricted sources of funding are:

1	Personnel expenses (PEREX)
2	Operational expenses, non personnel (OPEX)
3	Capital expenditure (CAPEX)

Categories "by default" for subsidies for construction are:

1	Construction work
2	Ancillary cost

These main categories are broken down in more detailed subcategories.

The University budgetary system used by all Budget Supervisors and Budget Holders is based upon this allocation structure.

27.3.4.2 Specific budget categories for different sources of funding

Funding agencies, Foundations, research sponsors have often specific requirements for reporting the use of their funds. The Budget Supervisor of the receiving Division is responsible for communicating these specific requirements, any use restrictions or other information on use of funds to the "Budget Section".

27.3.5 Budgeting the use of common and shared facilities and equipment

The University encourages sharing of its resources such as facilities and equipment. These common resources are under the responsibility of specific sections which must also budget for their acquisition, maintenance and operation.

Users of these common and shared facilities and equipment must budget only for the direct costs associated with their specific utilization (mostly

consumable). It is not necessary to budget for the fraction of the total operating cost corresponding to their use time.
However, the University will implement, in some situation, a cost monitoring of these common and shared facilities and equipment and report this cost to the users, for information and benchmarking.

27.4 Authorities & Responsibilities

27.4.1 Board of Governors (BOG)

The BOG makes decisions on the budget and financial plans and oversees the budget execution of the Corporation. (Article 3, Paragraph 1, item 10 of the Rules for the operation of the BOG [link: http://iwww.oist.jp/document/prp-aux/99_BOGRule.pdf])

27.4.2 Board of Councilors (BOC)

The President must hear the opinions of the BOC beforehand regarding the following items.

(1) Handling of budgets

(2) Acceptance of new obligations or release of rights outside the budget

(Article 21 of the Bylaws [link: https://groups.oist.jp/sites/default/files/imce/u113/oistsc_bylaws.pdf])

27.4.3 President

The President receives delegation from the BOG for the management of the University and is responsible and accountable for the execution of the annual plan and corresponding budget. The President reviews and is accountable for the budget plans submitted by the Budget Supervisors of each Division. The President may delegate some of his/her duties necessary for such purpose to the Vice President for Financial Management, under the supervision of the COO.

The University budget plans shall be compiled by the President before the beginning of each fiscal year, and must be approved at a BOG meeting. This shall also apply when any major changes are instituted to budgets plans.

After approval of the business and budget plans by the BOG, the COO informs the University staff in order to enhance transparency and accountability regarding the next year's business plan specifying budget priorities and implementation.

27.4.4 Budget Supervisors

Budget Supervisors are responsible for the timely and reliable planning and careful implementation within the limitation of the budget approved of their Division's budget through efficient operation and strict monitoring.

27.4.5 Vice President for Financial Management

The Vice President for Financial Management shall be responsible for all aspects of the budget and have the responsibility, as the head of the Financial Management Division, to proceed with budget planning and compilation for the entire University, communication and negotiation with the Cabinet Office in the course of making budget requests to the Government, formulation of plans for budget allocation within the University, execution and execution monitoring of the determined budget plans, and other tasks, under the supervision of the President and the COO.

With respect to the monitoring of budget execution, the Vice President for Financial Management shall confirm the budget execution results of each Budgetary Unit for the month and submit the Budget execution status report to the Budget Supervisors, the COO and the President every month.
In addition, the Vice President for Financial Management shall review the budget execution results of each Division after the closing of each fiscal year and submit an annual report to the President and to the BOG.

27.4.6 Budget Section

The Budget Section shall perform operations necessary for budget planning and compilation for the entire University, communication and negotiation with the Cabinet Office in the course of making budget requests to the Government, formulation of plans for budget allocation within the University, execution and execution monitoring of the determined budget plans, and other tasks, under the supervision of the Vice President for Financial Management.

In addition, the Budget Section is responsible for monitoring all budgeted funds appropriated by the University as approved by the BOG, and subject to mandates, regulations and procedures established by the University or by the institutions providing the funds.

27.4.7 University personnel

27.4.7.1 Appropriate use of the University budget
All University personnel are responsible for timely and reliable execution of their task within the limit of the budget allocated to their Budgetary Units, in accordance with the regulations of the University.

27.4.7.2 Familiarity with, and use of supporting IT infrastructure
The University uses the ERP system to compile, execute and manage its budget. This system supports most financial transactions of the University and is the basis for budget execution monitoring. All University personnel having disbursement or budgetary responsibility

are expected to be trained and familiar with the functions necessary to the effective fulfillment of their tasks.

27.4.7.3 Budget Analysts
The Budget Analysts at their respective Divisions shall offer practical support for the Budget Supervisors with regard to budget planning and compilation, preparation of budget request materials, budget execution and execution management, for which the Budget Supervisors are responsible.

27.5 Procedures

27.5.1 Budget planning and compilation

Budget planning shall be performed by the respective Budget Supervisors in accordance with the procedures set forth in Section 27.5. Budget compilation at the University level shall be performed by the Vice President for Financial Management under the supervision of the COO and determined by the President.

Budget Supervisors must submit budget plans with sufficient details. Operation expenses and capital expenditures must be itemized to be able to justify their budget request.
The budgeting of personnel salaries is complex because it includes indirect costs related to taxes and benefits. For that reason, even if personnel salaries are charged to their Budgetary Units, they are not directly managed by the Budget Supervisors at the time of the budget allocation. However, the Budget Supervisors are responsible for the management of the personnel whom they supervise and must plan for headcount and qualifications at section levels and for minimizing the amount of overtime, which is not budgeted.

27.5.2 Multi-annual planning

The University plans its budget and monitors its execution on an annual basis. Accounting rules applying to the main source of the University funding, subsidies for Operation from the Japanese Government (Hojokin) do not allow for multiannual budgeting, in principle.
When other sources of funding allow the University to make a multi-annual plan or when a project requires multi-annual budget planning, the Budget Supervisors and the Budget Section shall consider how to include such needs in the planning process. The Budget Supervisor requiring multi-annual budget planning is responsible for communicating its specific requirements to the Budget Section.
Please see the guidelines of multi-year contract and contract crossing the fiscal year end [link:].

27.5.3 Annual Budget Cycle for Government subsidies

Each Budget Supervisor shall draft his or her Division's budget request for the coming fiscal year and necessary materials in accordance with the budget request schedule presented by the Vice President for Financial Management. This draft is structured according to Budgetary Units and Budget categories confirmed by the Budget Section.
After consolidation, the Vice President for Financial Management shall inform the Cabinet Office of the amount requested for Subsidies for Operations and Subsidies for Construction, under the supervision of the COO. There are several iterations between the University and Cabinet Office before the budget request is finalized. During such process, the Cabinet Office might request us to provide additional explanatory materials that are necessary for the budget request, in which case the Budget Supervisor for the relevant budget item shall be responsible for preparing the appropriate materials within the deadline.
Advance notification on the Subsidies for Operation and for Construction for the coming fiscal year set forth in the government budget draft is usually given by the Cabinet Office at the end of December. However, the government budget draft is officially be approved by the Diet. Said approval is generally be granted at the end of March; however, it is subject to change to some extent.

27.5.4 Initial budget request by Budget Supervisors (PEREX, OPEX AND CAPEX)

27.5.4.1 Personnel plan and salaries budgeting

Budget Supervisors must submit their personnel plan for the coming year at the time of the first budget compilation, after careful review of current internal situation and staff availability and expected workload for next fiscal year.

The estimate of corresponding salaries shall be made by the Gender Equality and Human Resource Development Division on the basis of this information.

After consolidation, in accordance with the same procedure applicable to the University budget in general, the Vice President for Gender Equality and Human Resource Development shall conduct compilation and consult with the Vice President for Financial Management concerning the PEREX budget under the supervision of the COO, with necessary adjustment being reviewed by the COO and the Executives and with the final decision being made by the President.

27.5.4.2 Capital expenditure (CAPEX) plan – Research equipment and software

The Dean of Research shall collect and compile opinions of faculty

members and other persons concerned on the CAPEX plan for research equipment while the Vice President for Information Technology shall collect and compile opinions of faculty members and other persons concerned on the CAPEX plan for IT and software.

In order to avoid unnecessary duplication of research equipment/software and to maximize sharing, research equipment/software purchases and renewal plans shall be reviewed for equipment with purchasing costs of JPY 3M or more.

Equipment purchase requests must include the direct cost and other ancillary costs such as laboratory fitting cost, maintenance cost, additional personnel cost etc.

The CAPEX for those other than research equipment, IT and software shall be compiled by the Financial Management Division and incorporated into the budget compilation together with the CAPEX for research equipment, IT and software and adjusted by the Vice President for Financial Management under the supervision of the COO and determined by the President.

27.5.5 Annual budget allocation of subsidies for operation (OPEX and CAPEX)

27.5.5.1 Annual budget allocation of subsidies for operation

At the beginning of the budget compilation process, the President shall, based on advice from the Vice President for Financial Management, make a first allocation of subsidies for operations (OPEX and CAPEX) and headcounts to each Budget Supervisor on the basis of preliminary assumptions ("top down allocation").

The Resource Allocation Committee (RAC) is responsible for advising the President through the Executive Committee on the budget allocations. The Terms of Reference and the membership of the RAC shall be stipulated separately by the COO.

The Budget Supervisors are responsible for allocation of subsidies for operation between OPEX and CAPEX within their Divisions down to the Budget Breakdown Unit level. They are also required to confirm their personnel plan (headcounts and qualifications). After consolidation, necessary adjustment shall be reviewed and subjected to approval by the COO.

27.5.5.2 Budget pre-allocation

For activities starting at the beginning of the new Fiscal Year such as annual contracts which must be tendered several weeks before actual start, events with fixed dates etc. it may be necessary to allocate a

budget even before the start of the fiscal year (budget pre-allocation). Such pre-allocations are exceptional and must be requested to the Vice President for Financial Management.
It must be noted that the pre-allocation is for budget management convenience but is not a firm allocation. It cannot be contracted or encumbered before the actual budget has been confirmed on April 1st of the new fiscal year. It is the Budget Supervisor's responsibility to not encumber the amount pre-allocated before it is legally permitted.

27.5.5.3 Contingency budget
The President may request the Vice President for Financial Management to set aside contingency funds in order to respond in a timely manner to unexpected events, including emergency actions for natural disasters. Contingency budgets cannot be set aside by the Budget Supervisors, but they may request that the Vice President for Financial Management set aside a specific contingency budget only if an appropriate justification exists.

27.5.5.4 Unallocated Budget
The Vice President for Financial Management may, upon consultation with the President and the COO, decide to not allocate a fraction of funds available at the time of the annual budget allocation when further studies are required before these funds can be budgeted with sufficient accuracy and reliability.

27.5.6 Allocation of overheads from external funding sources

Overheads from external funding received by the University are consolidated in the budget of the President Office, regardless of the primary beneficiary of this external funding. The Vice President for Financial Management shall prepare a draft of allocation of these overhead costs in accordance with the needs of the University and the expenditure rules of the relevant funding organization before the COO makes a decision on the allocation.
Unless separately provided for by the relevant funding organization, the amount the University request for overheads shall be 30% of the total amount received.

The allocation of Indirect Cost of Competitive Grants shall be determined by the COO in accordance with the University's Guidelines for Indirect Cost of Competitive Grants [link:]

27.5.7 Construction plan
The Vice President for Building and Facilities Management is primarily responsible for the allocation of funds available for construction, in accordance with the categories of subsidies received (subsidies for operation and subsidies for construction), and he or she shall periodically consult with

the COO, the Vice President for Financial Management and the Associate Vice President for Administrative Compliance regarding appropriate budgetary execution.
This allocation is consolidated into the general budget of the University by the Budget Section.

27.5.8 Budget allocation in ERP system and ERP-HR

The President shall allocate budgets to be supervised by each Budget Supervisor. The actual allocated amounts can be confirmed in the ERP system.

27.5.9 Budget execution in ERP system

All financial transactions have to be recorded in the ERP system.

27.5.9.1 "Before the fact" ERP system entry

Execution of budget always has to be recorded in the ERP system prior to the actual action of execution such as initiating a tender with an estimated price, signing a contract, making an order, arranging a business trip, planning an event that requires a payment of honorarium.
The University may not accept the delivery of goods, service and/nor be able to reimburse the cost if transactions are not recorded "before the fact."
This is necessary to allow an up to date and reliable projection of the University commitment towards its creditors.

27.5.10 Budget execution monitoring and adjustments

27.5.10.1 Monitoring of budget execution

The budget execution status of each Division is reviewed by the Vice President for Financial Management with the Budget Supervisors. Budget execution status reports are generated to serve as a reference. The budget execution monitoring report is structured according to Budgetary Unit levels.

27.5.10.2 Revision of Budget

The budget established at the beginning of the fiscal year serves as a reference and cannot be modified. However, circumstances may impose a revision of the budget projection during the fiscal year. The Budget Section proceeds with an annual budget allocation re-estimate when it is necessary.
Decisions on these additional budget revisions are made by the COO in consultation with the Vice President for Financial Management when it is apparent that one or more Divisions will overspend or underspend, thus requiring a revision of budget allocation and arbitration.

The revised budget and the redistributed budget (refer to Section 27.5.10.5) shall be registered in the ERP-Core system by the Budget Section and become the new reference against which the budget execution is monitored. The initial budget remains as a baseline reference.

27.5.10.3 Over spending in a section within a Division

When over spending is anticipated in one Budgetary Unit, the Budget Supervisor of the Division to which this Unit belongs should first compensate this overspending with savings made in other sections under his/her responsibility.

In case the source of funding allows multi annual budget management the Budget Supervisor should take the necessary measures to correct the overspending in one year from savings made in the subsequent year(s).

27.5.10.4 Under spending

When a Budget Supervisor anticipates that his/her Division will not use its entire budget, he/she should notify the Vice President for Financial Management as soon as possible in order to enable a corporate-wide budget redistribution aimed at efficient use of budgeted amounts. Once this notification is accepted, the budget registered in the ERP system will be revised accordingly as soon as possible by Budget Section.

27.5.10.5 Redistribution of budget amount within and across main budget categories by Budget Supervisors

Budget redistribution within budget categories is possible as an acceptable way of adjusting allocation of resources to the actual environment and evolution of priorities.

The redistribution across budget categories cannot take place indiscriminately because they create different liabilities and have different impacts on the University's long-term use of its resources.

Redistribution across categories shall be adjusted and determined by the Vice President for Financial Management under the supervision of the COO. For such purpose, the Budget Section must confirm that the aforementioned redistribution is compatible with the restrictions attached to sources of funding.

27.5.10.6 Use of contingency funds

In case of emergency or unforeseeable events, the President for Financial Management may, upon the instruction of the President and under the supervision of the COO, decide to use the contingency funds

under his/her custody, specifying the purpose thereof. The use of contingency funds must comply, in principle, with the rules applying to the source of funds from which they are allocated (e.g. subsidies from operations). However, in case of extreme urgency, the COO may decide to use these funds with the explicit approval of the Vice President for Financial Management.
The COO may delegate the responsibility for using specified amounts of the contingency funds to Budget Supervisors when it is necessary.
The contingency funds should not be held until the end of the fiscal year and must be allocated gradually to normal operational usage as the probability of their necessity decreases.

27.5.10.7 Budget carry-over
Carry-over of subsidy budgets to next fiscal year is allowed exceptionally and only in cases the following criteria are met.

(1) Carry-over is allowed in the laws and rules of the source of funding
(2) Approval of carry-over by the government or funding agency is obtained. (In case prior approval is required.)

A budget carry-over includes the expenditures and the resources corresponding to the expenditures being carried-over. It therefore neutral from a budget balance perspective.

27.5.10.8 Reporting to other funding organizations
Reporting to funding agencies is usually done according to specific rules and forms. Budget Supervisors need to be aware that missing deadline or improper documentation may result in penalty such as disqualification for applying other funding or order to return the funds.

27.6 Prohibition of self-approval

Budget execution in cases in which the requester and the approver are the same person is not allowed under any circumstances in OIST. (Prohibition of self-approval)

27.7 Contacts

27.7.1 Policy Owner

Vice President for Financial Management

27.7.2 Other Contacts

Budget Section
President Office
COO Office

Procurement Section

27.8 Definitions

Authority: Approved by the President

Chapter 28. Procurement

28.1 **Policy**

The Board of Governor delegates significant procurement authority to the OIST Graduate University ("the University") so that it may acquire goods, services and construction needed to carry out its goals and missions. This authority is ultimately delegated to designated procurement agents, Contracting Officers and faculty who must base their purchases on sound business practice, best value, accountability, and compliance with donor, sponsor, and regulatory requirements. Further, the University requires those who make purchases on its behalf to comply with the rules and procedures set out in this Chapter.

28.2 **General Considerations**

In addition to applicable law and regulation, the University's procurement practices are driven by ethical considerations and sound business practices.

28.2.1 **Ethical Conduct**

Persons in charge of units or sections and their supervisors procuring goods or services on behalf of the University must comply with OIST Graduate University Code of Conduct in the course of all transactions. Examples of illegal and unethical practices include engaging in price fixing arrangements; bid rigging acts; agreements with competitors to divide or allocate markets or customers; falsifying accounting records; intentional misrepresentations to the University's auditors; bribery and kickbacks. Misconduct of this nature is subject to disciplinary action in accordance with Chapter 23, Misconduct & Whistleblower Protection and Chapter 38, Discipline.

Caution: Personal gifts or gratuities from vendors must be declined, and if received, returned to the vendors or suppliers. This and other conflict of interest and commitment concerns are addressed in detail in Chapter 22, Avoiding Conflicts of Interest and Commitment.

28.2.2 **Conflicts of Interest**

The University expects its faculty and staff to avoid any real or potential conflict of interest when procuring goods or services on its behalf. For additional information, refer to our Code of Conduct and our Conflicts of Interest & Commitment policy.

28.2.3 **Unauthorized Purchases**

Persons in charge of units or sections must not make unauthorized purchases, that is, those that are not in compliance with any aspect of this or other the University policy. Such purposes include improper bidding, making commitments for payments without proper authorization, and making false inspection records. Because unauthorized purchases increase legal and financial risks for the University, persons in charge of units and sections or their supervisors making such purchases may be held personally liable and/or subject to disciplinary action.

28.2.4 **Business Purpose**

Persons in charge of units or sections and their supervisors must not make purchases that are not for an approved business purpose (Examples of items not for an approved business purpose: [link:]) (See Appendix 28.A. Non exhaustive list of purchases approved for business purpose [link:].). Procurement of goods or services for personal use is strictly prohibited, as is the use of University discounts or its tax-exempt status. The point service, which accumulates points through purchase of business purpose and enables to receive discount or item, is

recommended to use for the business purpose transactions in the next time or after. Procurement for the purposes of resale must be made in accordance with the requirements of this Chapter. See also Chapter 21, Use of University Resources.

28.2.5 **Disclosure of Contract Information**

According to Stipulation on Contract Management, the University discloses the following information regarding past and future procurements on its website.

- Negotiated contracts of more than 5 million JPY: the University discloses the contracts and the reasons for selecting that contractor.
- Construction contracts: the University discloses fiscal year construction forecasts, bidding and contract execution processes, and similar relevant information.

28.3 **Rules**

The University must comply with the laws and regulations of Japan governing its operation. Additionally, persons in charge of units and sections and their supervisors making purchases on behalf of the University must adhere to the specific practices set out in this Chapter concerning soliciting, purchasing, and paying for goods, services and construction with University funds.

28.3.1 **Procurement Agents**

Vendor selection and approval must be managed by an authorized agent of the University. The University's procurement agents must identify the best, most qualified and/or suitable vendor to meet the needs of the University, while complying with all applicable laws and regulations.

Only the Procurement and Supplies section and the facility related sections may purchase goods, services and construction. However, in situations where the amount of purchase is less than 0.5 million JPY per order, persons in charge of units or sections other than the

Procurement and Supplies section and the sections under the supervision of Vice President for Buildings & Facility Management (the facility related sections) can purchase from vendors when they procure goods and services. When units or sections procure goods, services and construction, the prior subject to approval of Budget holder is necessary regardless of the amount. For placing an order, only an official authorized purchase order form by the University should be used.

28.3.1.1 **Approval on budget holder's behalf**

When the amount of purchase is less than 0.5 million JPY, budget holder may allow a certain individual to approve procurement of goods and services on ERP system on his/her behalf. In this case, the budget holder must specify the scope, reason, and time limit by submitting【Application for approval on budget holder' s behalf regarding the procurement of goods & services】[link:] to the System Administrator of the ERP System. Although the said individual may approve the procurement above on ERP system on behalf of the budget holder, the authority and responsibility for the procurement is not delegated to the individual but remains at the budget holder. The individual who approves on budget holder's behalf must not approve the purchase requests which are made by himself/herself (prohibition of self-approval).

28.3.2 **Vendor Selection**

In principle, selection of vendors by competitive bidding (tender) or other competitive procedures is required. However, in situations where the purchase does not exceed 0.5 million JPY, the units and sections may proceed to vendor selection at their own discretion while maintaining economic efficiency and fairness. In case that the purchase does not exceed 5.0 million JPY, the Procurement and Supplies section and the facility related sections may proceed using one of the following

competitive procedures

- Estimation of price (0.5 million JPY less than 1.0 million JPY): the University approved vendors.
- Estimation of price (1.0 million JPY less than 3.0 million JPY): best value comparative analysis between more than 2 vendors or more.
- Estimation of price (3.0 million JPY less than 5.0 million JPY): best value comparative analysis based on the official quotations submitted by 2 vendors or more.

The University can conclude contracts more than 5.0 million JPY without competitive bidding (tender) procedures subject to approval of the Procurement Committee in the following cases:

- One vendor only will be able to provide goods, services or construction, therefore making irrelevant competitive procedures. This exception must be made by the Procurement Committee on the basis of justification including specification and terms and conditions of the goods, services or construction. The Committee decision is disclosed on the University website.
- Procurement in emergency situations
- Others stipulated in the Contract Management Stipulations, Article 31

The Procurement and Supplies Section and the facility related sections must obtain approval of the approver specified by the PRP26.9 Appendices Table and "Guidelines for Document based Approval Process" with the justification for the vendor selection, terms and conditions, and the other necessary information.

Making the intentional split order for adjusting the transaction amount, for the purpose of avoiding best value comparative analysis and tender, or of manipulating total amount to be less than 0.5 million JPY, is not acceptable.

28.3.2.1 **Preparation of Specification document**

The University prepares specification document that specifies the contents and duties clearly, to communicate the contents of the contract with vendor to ensure the fulfilment of the contract.

The University must obtain the estimation of price after providing vendors with the specification document. However, when the purchase does not exceed 1.5 million JPY and the University is able to specify the contents of the contract clearly without specification documents, the preparation of specification document may be omitted.

The specification document must contain the constitution, demanded performances, delivery date, delivery site, method of acceptance and inspection, documents (deliverables), warranty, and the other necessary terms and conditions for the transactions.

In cases of the purchase of research equipment which exceeds 50 million JPY or of Enterprise Systems, the specification documents must be prepared in compliance with the Bidding and Committees procedures.

28.3.3 **Bidding Process**

The University will engage in competitive bidding in a manner that creates a fair, open, and competitive environment for qualified vendors, and that secures the best value possible. Methods of competitive bidding are tender, comprehensive evaluation bidding and other competitive bidding.

Criterion for determination of successful bidders is the lowest price bid or the most economically advantageous bid.

28.3.4 **Relationships with Suppliers**

The University will maintain the highest standards of business ethics and

conduct when interacting with suppliers. The employees of the University will build an appropriately competitive environment, considering local and small businesses, social minorities and environmentally preferred practices. Persons in charge of units or sections request Procurement and Supplies Section for credit check and approval through web portal [link:] when starting transactions with new vendor.

28.3.5 **Authority for Purchases and Contracts**

The Board of Governors has delegated transaction authority for procurement to various individuals within the University. Only these individuals are permitted to carry out such delegated transactions. These individuals must follow the requirements of the policy governing transaction authority in carrying out such delegated transactions.

Unless delegated (see below), the Procurement and Supplies section and the facility related sections are authorized and responsible for:

- Negotiating all procurement terms and conditions;
- Committing funds on behalf of the University to procure and pay for goods, services or construction, including equipment; and
- Approving the execution of all purchases of goods, services and construction

28.3.5.1 **Delegation of Purchasing and Contract Authority**

The Procurement and Supplies section may further delegate that authority to certain individuals for particular transactions related to their functional responsibilities. Procurement delegations must comply with the requirements of OIST Graduate University PRP Chapter 2.6 and must be approved by a Vice President at a level above the employee seeking to delegate

procurement authority.

The delegation must contain the specifics of the delegation, including the scope, reason, and time limit for the delegation.

- The Procurement and Supplies section must review the delegation annually to assess the need for continuation of the agreement and whether any modifications or other alignment is needed.
- Failure of a person in charge of unit and section and their supervisor to follow University policy may result in withdrawal of the delegated authority.

28.3.6 **Independent Contractors**

An independent contractor is an individual or entity engaged to perform services, mainly as a consultant. Such service providers including independent contractors are not employees of the University and thus not managed by University employees.

The University must use an "Independent Contractor Agreement (ICA)" [link:] when receiving services from independent contractor. Before services commence, the ICA contract must be signed by both the independent contractor and the University's representative or the Senior Level Executives with the appropriate level of contract authority. The language of the agreement cannot be changed without agreement by the Procurement and Supplies section.

28.3.7 **International Procurement**

The University procures goods, services and construction from overseas based on best value if the procurement costs including indirect costs such as shipping charge, tariff, etc. are cheaper than domestic procurement taking maintenance after the procurement into consideration. When the University procures from new overseas vendors, it must screen

qualifications for the vendors. The University does not authorize full payment in advance to the vendors not having the required qualifications.

28.3.8 **Payment Methods**

The University uses bank transfers by invoice after delivery as its primary payment method. However, if bank transfer is not possible, a corporate credit card may be used for a transaction in accordance with PRP 26.3.7. The University may use advance payment methods for vendors for construction, international procurement, and other situations stipulated in PRP 26.3.1.27. Such vendors must meet all screening qualifications.

28.3.9 **Blanket Purchase Orders**

If individual frequently needs specific supplies or services from the same supplier, the Procurement and Supplies section may establish a "blanket" purchase order. "Blanket" purchase orders are established for varying periods within a fiscal year in principle, and allow the individual to order directly from the supplier without obtaining quotations each time. This category includes contract for unit price agreement, and basic contract agreement for continuous transaction.

28.3.9.1 **Multi-year contracts and multi-year valid vendor selection.**

The Procurement and Supplies section and the facility related sections can conclude multi-year contracts according to its property and purpose. However, it is stipulated separately about necessary requisitions for multi-year contract[link:].

In addition, the Procurement and Supplies section and the facility related sections can accomplish vendor selection by multi-year valid conditions or procedures. At concluding of contract via such selection method, the Procurement and Supplies section and the facility related sections shall take appropriate actions by necessity like

regularly review for succession of contract etc.

28.3.10 **Receipt and Inspection of Deliveries**

The Receiving & Inspection Center must confirm receipt of procured goods and services at the time they are delivered to the University. If the Receiving & Inspection Center cannot confirm receipt due to a lack of relevant knowledge or expertise related to the delivered goods and services, or confirming the receipt of delivery is difficult at the Receiving & Inspection Center, the Procurement and Supplies section may delegate the confirmation of receipt to staff having appropriate expertise.

The confirmation of receipt may be substituted by receipt of packing invoice or photograph when procured goods are delivered to off-campus. Procurement & Supplies section also confirms the performance of specialized services such as development of databases, programs, digital contents etc., by deliverables or service completion report.
Receiving & Inspection Center staff receives all the packages delivered to Receiving & Inspection Center . To confirm the receipt of procured goods and services, Receiving & Inspection Center staff may open the delivered packages without permission of the recipient on the waybill.[link : DFA site]

Persons in charge of each purchasing unit or section shall inspect the performance of delivered goods and services, and record it eligibly. Staff of Receipt & Inspection Center may witness the performance inspection. Persons in charge of each purchasing unit or section shall keep records of receipt and inspection on file, and submit the records as necessary.

28.3.11 **Emergency Purchase**

When an emergency situation occurs, an authorized procurement agent may make a commitment to a vendor without a formal purchase order.

Such transactions would include, for example, an unanticipated and sudden life-threatening or catastrophic event.

Simple urgent matters and/or lack of time for required procurement procedure are not considered as appropriate reasons in this article.

28.3.12 **Record Retention**

The Budget Section, the Accounting Section, the Procurement and Supplies section and the facility related sections must maintain records of procurement and disbursement transactions routed to their respective Offices. See also Chapter 12, Document and Record Management.

28.3.13 **Correction of order**

Persons in charge of units or sections shall reissue an official purchase order form when modification or correction on the content of original order is needed.

If modification or correction is needed on the cases which purchasing units, sections or individuals have made a purchase request to the Procurement and Supplies Section or the facility related sections, the requesters should notify the sections in charge of purchase order immediately.

28.4 **Responsibilities**

All employees who are related in procurement have the following responsibilities:

- Understand and comply with rules related to procurement.
- Select most appropriate method of procurement from the viewpoint of economic efficiency and fairness.
- Conduct proper procurement and purchase request.
- Obtain approval specified by the rules prior to the procurement.
- Inspect the deliverables and related documents with the Receiving & Inspection Center on delivery of goods and completion of services.

The budget holders have the following responsibilities:

- Be responsible for appropriate execution of transaction and appropriate use of University's funds. Especially, check the contents of the transactions and budget for the purchase requests from persons in charge of units or sections.
- Approve the requests after checking if the requests are complying with the rules for procurement. Take responsibility if he/she approves unauthorized purchases and purchases not for an approved business purposes.

The Procurement and Supplies section and the facility related sections have the following responsibilities:

- Provide information and be a resource to the University on procurement-related matters;
- Negotiate procurement terms and conditions, and issue contracts with external suppliers based upon price and best value;
- Contractually commit the University to procure and pay for goods, service or construction, as appropriate;
- Approve the execution of all purchases, where authority has not been delegated;
- Establish procedures for documenting delegated procurement methods in accordance with applicable regulations;
- Maintain and communicate updated procedural documentation in the University Financial Operating Procedures;
- Maintain records of procurement transactions as required by law and by University policy; and
- Communicate procurement policy and procedure changes to stakeholders, including persons in charge of units or sections, customers, and suppliers, as needed.
- Receiving & Inspection Center must confirm receipt of procured goods and services, and delivery of orders.
- The University collects a document from the suppliers who have certain transaction amount or more pledging that they have no objection if the

University imposes sanction including suspension of transactions when they are involved in misconduct.

28.5 Procedures

28.5.1 Purchasing procedures

For details on the purchasing procedures, please see the University Division of Financial Management Website, the Operation Workflow page (Purchase) [link:] .

28.5.2 Bidding and Committees procedures

The followings are the procedures for bidding and related committees.

a. Contract Management Stipulations
b. Procurement Committee Stipulations
c. Detailed Stipulations for Competitive Bidding (Planning Competition)
d. Detailed Stipulations on the Procurement of Large-scaled Equipment)
e. Detailed Stipulations for Investigations of Lowest Bidders
f. Detailed Stipulations for Contract Review Committee
g. Contract Review Committee Operating Guideline
h. Establishment of the Competitive Bidding Participants Qualifications Examination Committee
i. Establishment of the Fair Bidding Investigation Committee
j. Establishment of the Construction Consultant Selection Committee
k. Establishment of the OGVM Examination Committee concerning Facilities Construction and Maintenance Works
l. Establishment of the OGVM Examination Committee concerning Procurement for Goods and Services
m. Handling of Contract Management in Cost-on Method
n. Qualified Bidder Identification Implementation Guideline

o. Small Amount Qualified Vendor Identification Implementation Guideline
p. Specification formulation of Enterprise Systems
q. Stipulations for Multi-year contracts and multi-year vendor selection
r. Detailed Stipulations on Priority Review for Adoption of PPP/PFI Methods [link:]

28.6 **Forms**

Independent Contractor Agreement (ICA)

28.7 **Contacts**

28.7.1 **Policy Owner**

Vice President for Financial Management

28.7.2 **Other Contacts**

Procurement and supplies section

28.8 **Definitions**

Agreement	See "contract" definition.
best value	This concept is to select the contractor who provides the most valuable service to the buyer. This is not only for acquisition of lowest price, but includes philosophies of cost reduction by consideration of most appropriate conditions /specifications, economic improvement based on life-time cost and maximization of services provided through the same amount of price.
bid	A request for competitive quotation or proposal from a

	qualified vendor for the purpose of issuing a purchase order and contract for the procurement of goods, services and construction.
conflict of interest	A situation in which a member of the University community has the opportunity to influence the University's business, administrative, academic, or other decisions in ways that could lead to personal gain or advantage.
construction	Clearing, dredging, excavating, and grading of land and other activity associated with buildings, structures, or other types of real property
contract	A written, legally binding agreement between the University and an external supplier.
corporate credit card	A credit card issued and used according to the stipulation of PRP 26.3.7.
emergency situation	The occurrence of an unanticipated and sudden situation that is life-threatening, catastrophic in nature, or involves pressing necessity for immediate repairs, reconstruction, or maintenance in order to permit the safe continuation of a necessary use or function, or to protect the property or the life, health, or safety of any person on the University business.
goods	Tangible property for sale, lease, or rental by the University (also known as merchandise or commodity).
inappropriate split order	An act of intentionally making multiple split orders, to avoid required competitive procedure set by transaction amount.
independent contractor	A person or entity engaged to perform services mainly as a consultant. Such service providers including

	independent contractor are not supervised by University employees.
inspection	To visually confirm quantities and visible defects regarding delivered supplies or services, and to verify performance whether delivered items provide the expected features. May be used interchangeably with "acceptance check."
Memorandum of Delegation	A formal, written record containing the terms of a transaction or agreement signed between the Procurement and Supplies section and one or more other individual(s), sections(s) or unit(s) of the University.
person in charge	An administrative staff at the University who is delegated significant procurement authority for the acquisition of goods, services and construction from external sources on behalf of the University.
price information	An official quotation, a reference quotation, an on-line estimation and a price list clearly written which is issued for the University.
procurement agent	An individual, a unit or a section which is part of a procurement organization at the University and has been given transaction authority by the head of the procurement function to negotiate, authorize, and execute contracts on behalf of the University.
purchase order	A legally binding order for purchase issued by the University to the vendor.
service	An activity in which labor is the major factor and not merely incidental to the production, acquisition, and/or delivery of a good.

spend	An act of using funds to purchase goods, services or construction, or the funds spent by a person in charge, a unit or a section through its procurement processes.
supplier	See “vendor” definition.
transaction authority	The authority to execute transactions or agreements with external parties that commit the University
undelivered	"Undelivered" is the status that the inspection of ordered goods and services have not been completed by due date. Undelivered" status is also assigned following cases. – -The delivery has not been completed by the budget expiration date, including scenarios where such as contract extension was granted. -The goods and serves were delivered, yet the inspection could not be completed due to defects and/or missing parts and compensation, substitution or restoration was not provided despite a request from the University.
unit and section	A organizational level whose manager is delegated significant procurement authority for the acquisition of goods and services from external sources on the University behalf. In this chapter this category includes divisions and offices in certain instances.
vendor	An individual or organization that provides specified and agreed upon goods, services and/or construction to the University. May be used interchangeably with “supplier.”
web-purchase	To purchase goods and services through vendor’s web portal. May be used interchangeably with “on-line

	purchase”.
Delegation	The Board of Governors and the Procurement and Supplies section delegate the authority and responsibility for procurement to certain individuals
Approval on budget holder’s behalf	The budget holder allows certain individuals to approve on ERP system on behalf of the budget holder. The authority and responsibility for procurement still remain at the budget holder.
Authorised Contractors	Contractors which are registered with OIST procurement section and are given dedicated ongoing access to OIST resources. Physical access for these contractors must be requested via the facilities division, these contractors will be issued access cards as their work entails continuous and ongoing access to OIST; this category includes facilities contractors. Virtual access for these vendors must be made via IT, for security reasons this kind of continuous access by contractors is only granted where absolutely required, for example for 24 hour external support services of systems such as the Finance and HR systems.
Registered Contractors	Contractors which are registered with OIST procurement section, and are allowed to access to OIST resources when required i.e. for providing supply and maintenance services. Physical access must be requested through the facilities division, and entry made via the Bosai centre, temporary access cards are issued upon arrival and to be returned whenever leaving the facility. Virtual access to OIST resources must be requested via

	IT, and access will be granted only for the time window required.
Sales or Presentation Vendors	A vendor visiting OIST for the purpose of promoting products, or presenting materials. These vendors are not paid or compensated in any way. It is the responsibility of the sponsor to ensure these vendors are escorted at all times in laboratory areas.
Personnel from staff agencies (Agency Temporary Staff)	Staff dispatched from an agency under an hourly-fee contract.

28.9 **Appendix**

Appendix 28.A Non exhaustive list of purchases approved for business purpose

Authority: Approved by the President

Chapter 29. Travel, Meetings and Related Expenses

29.1 **Policy**

This Chapter provides basic policies and rules on travel and meeting expenses, and honorarium for OIST officers and employees, and guest travelers. Travelers must understand all travel related policies and rules and make business travel expenses reasonable and economical. Once the travelers finish business travels, travelers must promptly make the settlement of travel expenses in accordance with the travel expense settlement procedures.
Likewise, to invite guests to OIST, inviters must inform guest travelers of OIST's policies and rules on guest travels and their expenses. Inviters must also keep guest travel expenses reasonable and economical and, once the travels are finished, promptly make the settlement of guest travel expenses in accordance with the travel expense settlement procedures.

The University's travel policy (and primary requirement) is that all business travel must be approved before the traveler leaves for the trip and before any prepayments can be made.

University travelers are expected to spend University funds prudently and plan appropriately so costs do not exceed budgetary limitations. Business travel expenses will be paid by the University if they are reasonable, appropriately documented, properly authorized, and within the guidelines of this policy. See Table [link: 26.9] for details on categories of travel expense and per diem rates. The traveler should neither gain nor lose personal funds as a result of University travel.

This Chapter applies to anyone who incurs travel expenses paid by the University regardless of the source of funds. It aims at providing

- •Compliance with Japanese regulations.
- •Policies, Rules, Procedures, and Definitions that simplify travel arrangements and enable the University to manage its planned annual travel budget within available resources.
- •Clear and consistent understanding of policies, rules and procedures for meetings and travel.

Intentional or frequent disregard for the University's travel policy and procedures may be considered grounds for disciplinary action, and/or for prosecution in the case of fraudulent misrepresentation of travel expenses.

29.2 General Considerations

Departments may impose stricter budgetary controls over travel, meeting and related expenditures than those required by this policy. The University reserves the right to apply more stringent requirements on individual travelers.

As a principle, Travel, meeting and related expenditures charged to a sponsored project, or other funding than subsidies such as gifts or grants should follow the guidelines set forth by this policy unless the funding organization, donor or grantor imposes greater restrictions or on the opposite gives more discretion. Proper review of allowable expenses must be made by the Grants and research Collaborations or the Fundraising Office. [link:].

The University has appointed a preferred travel agency (PTA) to help minimize risks (financial loss, Duty of Care) and obtain good value for money spent. The PTAs [link: List of PTAs] is the only agent recommended by the University and should always be consulted before booking international air travel and other overseas services, except where the use of an alternative supplier is substantially cheaper, low risk and outweighs the other benefits of using the PTAs. The PTAs may incur fees depending on the services required and the method of booking, but overall, should deliver competitive fares and value for money.

Travel to countries for which a travel advisory has been issued by the MOFA of Japan is not advisable. You may access the list of current advisories at the MOFA website [link: http://www.mofa.go.jp/index.html].

29.2.1 Travel by Key Staff

Key administrative staff members (those who report directly to the President) should avoid traveling with colleagues, and under no circumstances will more than three key staff be permitted to travel together.

29.2.2 Group Travel

The University discourages travel by groups of employees from the same department or office on the same plane or on extended automobile trips as accidents may result in injuries to several members of the group and may seriously impair the operation of an essential University activity. Travelers are expected to use good judgment in this regard.

29.2.3 Combined Personal & Business Travel

When personal travel is combined with business travel, the employee will be reimbursed for only the business portion of the trip at the lowest available fare. In some cases, the costs of a business trip can be significantly reduced by an extension of a day or two. When such extensions are used for personal purposes, this must be indicated in the travel request. Use of paid leave while on business travel must be clearly indicated in travel request, which should be approved by Supervisor in advance.

29.2.3.1 If a travel itinerary is created to accommodate personal travel, the traveler must pay the incremental cost of personal business compared with the same direct itinerary with only business purpose and document the costs incurred, separating personal expenses from University business expenses.

29.2.4 **Expenses Incurred by Accompanying Spouse or Personal Guest**

Generally, the expenses of a spouse, family, or other accompanying the business traveler are not reimbursable.

29.2.4.1 Exceptions may be granted with the approval of the President if one of the following conditions are met:

- The spouse, family, or other accompanying the business traveler has significant role in the proceedings; or
- The spouse, or other accompanying the business traveler is involved in fund-raising activities.

29.2.4.2 This exception is *only available if*

- the Spouse or other accompanying guest is registered on the travel request,
- the business purpose for the spouse or other accompanying guest is stated, and
- the accompanying person's and business traveler's expenses are clearly identified and demonstrated on the Authorization for Payment.

29.2.4.3 Exceptions stipulated in Business Travel Support Program for child - rearing employees, students, and invited guests [link: https://oist-prod-groups.s3-ap-northeast-1.amazonaws.com/s3fs-public/imce/u100221/The%20Guideline%20of%20Business%20Travel%20Support%20Program.pdf] may be granted with the approval of the Vice President for Gender Equality and Human Resource Development for the program.

29.2.5 **Travel by Non-University Employee**

The University's Travel Policy shall be extended to cover external members of the Board of Governors, Board of Counselors and their Committees when they are attending scheduled meetings of these bodies or when they are otherwise engaged on official Board business requiring travel from their usual residence or place of work. The university will also pay the travel costs of other non-employees (job applicants, lecturers, volunteers, and other visitors, students etc.) when approved by travel approver(s) indicated in the table [link:]. Generally, non-employees traveling for the university are required to comply with this policy.

29.2.5.1 In case of an independent contractor, travel expenses should be part of the overall fee reflected on the vendor's invoice, which should indicate the cost of travel

29.2.5.2 In case of guest lecturers at OIST workshops, please follow the guidelines [link:].

29.2.6 **Recruitment**

Units must authorize travel for prospective employees (and their families as authorized by the President (Chapter 29.2.4)[link: 29.2.4]). The recruitment process ends once the recruit accepts an offer.

29.2.7 **Relocation**

Reimbursement for relocation of newly recruited regular employees is authorized by hiring section and Human Resources Management Section. University purchasing policies require quotations from 2 moving companies. The University has negotiated preferred supplier agreements with moving. Preferably at least one of these suppliers and one other supplier should be included in the consultation.

Relocation expenses will be paid based on the actual incurred cost. The amount of relocation allowance for the new hire and dependents is equivalent of 11 days of per-diem and lodging except for domestic relocation on Campus or Rental Housing. For this case, 8 days of per-diem and lodging are paid. No relocation expenses and allowance are paid for relocation within Okinawa's main island.

Contact Human Resources Management Section about relocation rules.

29.2.8 **Student Travel**

To obtain more information, consult the Graduate School Handbook [link: 5].

29.2.9 **Travel Insurance and Assistance**

When purchasing international air ticket via PTAs on University business, travel insurance will be automatically covered. However, individuals purchasing international air tickets from a supplier other than PTAs are required to purchase his/her travel insurance by the means designated by the University.

29.3 Rules

29.3.1 **Allowable Business Travel Expenses**

Business travel expenses allowable for payment by the University are ordinary and necessary expenses of traveling away from employee's home for the purpose of conducting business for the sole benefit of the University (official or business travel). See Table [link: 26.9] for traveler categories, items of reimbursement, and amounts.
Expenses deemed as personal by the University are not reimbursed.

Air/Hotel Packages should be avoided unless purchased through the University's PTAs. Receipt requirements are found here (Chapter 29.3.13)[29.3.13.]

29.3.2 **Air Transportation**

Travelers should use the class of airline accommodations permitted in the Table[Link;26.9] or lower.

29.3.2.1 EXCEPTIONS

29.3.2.1.1. First class tickets are not permissible for University employees. See Travel Handbook [Link;] for the details. For other travelers they may be authorized under exceptional and duly justified circumstances with prior written approval from the President

29.3.2.1.2 Airfare Upgrades at the expense of the University (i.e. resulting in a total cost superior to the cheapest airfare in the eligible class for the direct customary route) is not permitted and will not be reimbursed. Free upgrades or upgrades paid by the traveler must be clearly documented as such in the Travel Expense Report.

29.3.2.1.3 Airfare costs in excess of the lowest available commercial discount airfare or the defined standard (Table [Link:26.9]) airfare are unallowable. EXCEPTIONS: The lower cost accommodations are not required if they:
(a) require circuitous routing,
(b) require travel during unreasonable hours,
(c) excessively prolong travel or greatly increase the duration of the flight,
(d) result in increased costs that would offset transportation savings, or
(e) be inadequate for the medical needs of the traveler.

29.3.2.2 Purchase Method.

Direct billing to the University through travel agencies and airline companies is available in order to reduce administrative cost, to minimize out-of-pocket expenses for travelers, and to prevent fraudulent expense claims. This is permitted only thorough the suppliers which are determined by the Financial Management Division.

Direct billing of airfare to the University by PTAs is recommended. This is also applied for all business travels including guest travels.

29.3.2.3 Insurance

Trip insurance, cancellation insurance: the cost for purchasing this insurance can be significant and should not be purchased on a regular basis for most

University travel. The cancellation insurance is not an allowable business travel expense under this University's travel policy. If the traveler believes that there is a relatively high probability that the trip may be cancelled due to circumstances beyond his/her control, it may be possible to obtain cancellation insurance at an additional fee.

29.3.2.4 Private Plane or Air Charter

Private aircraft and chartered flights are actively discouraged. Private aircraft or chartered flights may be justified by extenuating circumstances and require adequate insurance coverage and the prior written approval of the President.

29.3.2.5 Other Air Travel Constraints

For international, purchase of fully Refundable Air Fare airline ticket should be minimized. In most cases, it is less expensive to pay the change fee for a rebooked ticket than to pay for a fully refundable ticket.

29.3.3 **Surface Transportation**

The most economical mode of transportation should be used to and from air, bus and rail terminals. Public transportation and shuttle services should be favored. For domestic travels, in principle, only single-round trip transportation fares between the airport and the business destination will be provided even for a travel that includes overnight stay, in order to simplify calculation for reimbursement. NOTE: Original receipts are required for reimbursement of taxi, shuttle, bus, or other ground transportation for fares. If a fare can be substantiated by other tools such as online trip organizer and bus company's website, no receipt is required.

Employees traveling to the same location should share ground transportation whenever possible.

Use of rental car is permitted, only if the cost is less than other available modes of transportation or if a valid business reason confirmed in advance by *senior staff* precludes the use of a more economical mode of transportation.

Reporting Accidents

Accidents involving use of surface transportation during the course of University business, and especially accidents involving rental, University, and personal vehicles for University business, must be reported immediately to the proper authorities, consistent with local/state laws. Supervisor or the University 24-hour emergency service (+81 (0)98 966 8989) must be informed as soon as possible of any such accident.

29.3.3.1 Rail, buses and commercial vessels

When traveling by rail, bus or boat, the travel fare applicable depends upon the travelers' situation and travel location. (Appendices & Table)[link: 26.9]

29.3.3.2 Rental Cars

When usage of rental car is more economical and convenient than other transportation, a traveler may rent a car.

(1) Travelers should use standard compact sized vehicle that meets their needs.(see table) Special and luxury vehicles are prohibited unless the business purpose justifies the need and written Supervisor's approval is received in advance of the transaction. Renting minivans transporting more than 8 passengers is not allowed unless driven by a professional driver.

29.3.3.2.1 Automobile Rental Insurance

Employees traveling on University business should purchase rental car full coverage insurance.

29.3.3.2.2 Other Car Rental Guidelines

(1) Drivers are responsible for paying for parking violations, speeding tickets, and any other violations incurred when renting a vehicle. These will not be reimbursed by the University.

(2) When drivers rent a car for a period of time that includes both business and personal use, the total cost of the car rental must be apportioned between business days and personal use days and only usage during the period of time the driver was conducting University business will be reimbursed. The traveler must provide a clear description of the personal and business use (distances and periods). Damages occurring during the personal use period will be fully charged to the traveler.

(3) Gasoline purchased in conjunction with the professional use of a rental car will be reimbursed. If the reimbursement contains personal use of gas, it will be reimbursed on *prorata temporis* basis.

29.3.3.3 Personal Vehicles

Authorization to use a personal vehicle for University business (and to be reimbursed for that use) requires a determination that the cost of using a personal car is either less than other available modes of transportation or that there is a valid business reason precluding use of a more economical mode of transportation.

29.3.3.3.1 Travelers will be reimbursed for business use of their personal vehicles at the University prevailing kilometric allowance (Appendices & Table) [link: 26.9]

29.3.3.3.2 The automobile kilometric allowance assumes coverage of all transportation and operating costs including auto insurance and maintenance, gas, oil. Tolls and parking will be reimbursed in addition to the allowance.

NOTE: Employees will not be reimbursed for any of the following, even if these costs were incurred during business travel:

- car repairs,
- rental car costs during repair of personal car,
- tickets, fines, or traffic violations,
- damage to personal vehicle,
- theft of personal vehicle or vehicle content.

(1) It is the responsibility of the owner of the vehicle being used for business purposes to carry adequate insurance coverage (mandatory insurance requirement) for their protection and the protection of any passengers.

(2) When using a personal car for University business, an employee's *personal car insurance carrier is the primary insurance carrier*.

29.3.3.4 Taxis

When a traveler travels in a place with limited access to public transportation, he or she may use a taxi. In such a case, a receipt must be attached when claiming reimbursement.

Use of car service with driver will be arranged only if there is a valid business reasons such as cost safety, efficiency, lack of other mode of transportation by group 1 & 2 (Appendices & Table) [link: 26.9)

29.3.3.5 *University Vehicle*

University Vehicle can be booked through University's facility booking system[link:].

29.3.4 **Hotel and Other Accommodations**

29.3.4.1 Room rates reimbursement

Overnight hotel accommodation is reimbursed on the basis of daily lodging allowance. However, in principle, lodging expenses of guest travelers should be paid by direct billing or actual cost reimbursement based on an original receipt, up to the amount of the fixed allowance. Alternate accommodations should be

explored before requesting or accepting a higher rate than the daily lodging allowance. Please see the table[link: 26.9] for details.

If traveler makes a business trip and shares accommodation with his/her spouse, family member or partner who is an employee of the University, lodging allowance is paid to either one person. If actual lodging fee of two persons exceeds the lodging allowance for one person, the actual difference amount is paid up to the amount of lodging allowance for the additional one person when an original receipt is submitted. (See 29.4.1)

29.3.4.2 Guaranteed Reservations

Hotel reservations must always be guaranteed for late arrival. This procedure protects the traveler regardless of the arrival time at the hotel. If the traveler will not be using a hotel room that has been guaranteed, the room must be canceled to avoid a penalty.

29.3.5 **Registration fees for conferences, meetings, and trainings**

Registration fees for conferences, meetings, and trainings are not considered as a part of travel expenses are treated as an individual expense. If all or part of such fees is considered as meal costs, such as reception expenses, the portion will not be reimbursed or paid from the University.

29.3.6 **Telephone and Internet Usage**

The university expects you to use the most economical or efficient means of accessing the Internet when you are traveling.

The University will not reimburse personal calls except in situations of emergency (to be specified in the reimbursement claim).

29.3.7 **Foreign Travel**

Expenses incurred in foreign currencies are reimbursed in Japanese Yen (JPY) after currency conversion (29.3.7.1). Receipts in foreign languages should be translated if the type of expense is not clear otherwise.

29.3.7.1 Currency Conversion

All expenses should be recorded in JPY. The currency conversion rate applicable is the monthly average rate of the calendar month prior to the date shown on the invoice or its equivalent. NOTE: The monthly Exchange rate is automatically registered in the ERP system. Otherwise please refer to the table provided on the Financial Management website (https://groups.oist.jp/dfa/accounting-and-payment). In case an exchange rate is not provided for the currency in which the expense occurred, please contact the Travel Expense Team of Accounting Section.

Example:

Date of travel	Month of exchange rate applicable
August 5th 2013 to August 27th 2013	**July 2013**
October 20th 2013 to November 8th 2013	**September 2013** for expenses invoiced between October 20th and October 31st. **October 2013** for expenses between November 1st and November 8th.

29.3.8 **Per Diem and lodging allowance**

Instead of substantiating actual meal, incidental expense (i.e. tips) and lodging expense for travel, the traveler may be reimbursed on the basis of a per diem and lodging allowance.

However, in principle, lodging expenses of guest travelers should be paid by direct billing or actual cost reimbursement based on an original receipt, up to the amount of the fixed allowance.

The University does not require prorating of per diem and lodging allowance on travel days: Per Diem and lodging allowance are paid undivided on the basis of the location and number of days.

Overnights flights on University business are included in the Per Diem calculation.

29.3.8.1 Adjustments to the Per Diem and lodging allowance

When a conference provides meal(s) or meals are covered by meeting expense, half of per-diem is paid.

Stays Longer Than 30 Days

The lodging allowance is multiplied by 0.6.

The *Per Diem* is kept unchanged.

Note 1: When an individual's original estimated travel is for more than 30 days in one location, the reduced rate (0.6 x lodging allowance) applies from the first day. When an individual in travel status at a location is granted extension to a trip originally estimated at less than 30 days, the 30-days-or-less rate applies for the first 30 days and the more-than-30-days rate applies from the 31st day through the end of the trip. The 60% policy is based on the assumption that a long term traveler can reduce the lodging expenses by renting instead of paying on a day-by-day basis.

Note2: if there are any difficulties regarding this payment (such as in a case where the application of the provision of this paragraph is unreasonable, etc), the Vice President for Financial Management shall decide the appropriate amount on a case-by-case basis.

29.3.8.2 Exception to the Per Diem Amount

If a supervisor provides written justification that compliance with the per-diem and lodging allowance is impractical or not preferable for a particular situation, and the Vice President for Financial Management approves, actual costs may be reimbursed based on actual expense receipts even if the set amount exceeded.

- Such exceptions must be approved before travel.

29.3.8.3 Actual Expenses and Per Diem

Travelers cannot use both actual expense and per diem methods for meals or hotel during the same trip. No exceptions.

29.3.8.3.1 Meal Related to Meetings. It is possible to take visitors out for meals or to invite guests during a business trip with the prior approval of the supervisor and the budget holder. The cost will be reimbursed up to a maximum amount per head. (Appendices & Table) [link: 26.9]

On such occasions, receipts for actual expenses may be submitted for reimbursement and half of per-diem will be paid on that day.

29.3.8.3.2 The Vice President for Financial Management can authorize higher amounts for special guests.

These approvals must be obtained in advance, otherwise the cost of meeting meals will not be reimbursed. All guests must be listed on the claim form and receipts must be attached to the form as proof of payment.

29.3.8.4 The Per Diem is not paid by the University if the travel is outside duty (business travel within the area of 80 km that does not require lodging.)

29.3.9 **Meeting expenses**

Meeting expenses consists of food and beverage expenses related to a meeting or ceremony involving people outside of the University to promote University activities, goals, and mission. The University will defray meeting expenses only when the occasion is significant to the affairs of the University, and is not of the type that individuals would normally undertake, other than in an official capacity.

NOTE: Meals provided at academic workshops or courses hosted by the University[link:19.3.2.1] are not dealt with by this chapter. Meal expenses associated with these activities should be requested to and authorized by the Workshop Committee, as a part of the workshop budget.

29.3.9.1 Approved for Payment

All the meetings or ceremonies for which expenses may be reimbursed must be justified as necessary for the purpose of achieving the goals of the

University. In support of this justification, the agenda and the name of participants must be made known through the OIST ERP system in advance. The University reserves the right to refuse reimbursement if this information is not given in advance.

29.3.9.2 Non-exceptional Meeting Expenses

29.3.9.2.1 Non-exceptional Meeting Expenses

For reimbursement of meeting expenses as non-exceptional meeting expenses, all conditions below must be met.

1. Meetings and ceremonies eligible for OIST meeting expense requests must be held in accordance with the University's business, objectives and missions.
2. Each meeting must have at least one external participant and one internal participant in order for OIST to bear its costs.
3. Cost of alcoholic beverages is not considered as part of OIST meeting expenses. (Please refer to PRP 29.3.9.3.1.)
4. Expenses for meetings must be kept to a minimum. The limit of expenses per meeting is specified in Appendix C "Cost per Meeting" in this chapter. Amounts exceeding this limit will be at the expense of the OIST member.
5. Attendance of Faculty, a Senior Level Executive or equivalent from an external institution, or candidates for OIST research / senior administrative appointments is required.
6. Attendance of an OIST Senior Level Executive or Faculty is required.
7. Up to one meal a day, three meals per visit.

In case the above conditions cannot be met while the expenses are deemed necessary to pursue the University's objectives, the requesting division (hosting division) shall obtain approval prior to the meeting in accordance with Appendix D "Approver and Consultant for Meeting expenses" in this chapter.

Meetings (including BOG and BOC) organized by the President's Office are exempt from the requirements 4 -7 above.

> NOTE: When an external guest is a government public officer, or when there could be a risk of conflict of interests or other ethical consideration, confirm with the external guest that it is legitimate to submit a request for meeting expense. Particular attention should be given to the fact that full names of the external guests may be disclosed by information disclosure request.

29.3.9.2.2 Refreshments for Meetings

For the reimbursement for refreshments (tea and snack, not meal) for meetings, approval of the Travel Expense Team is required in advance. The upper limit is 500 yen per person.

Small bottles of water or tea, which are considered as consumable items, may be served at a meeting involving people outside of the University without such information.

29.3.9.2.3 Lunch Meetings on campus

In principle, meetings over lunch on campus should be held in a meeting room.

Under the following exceptional circumstances, meeting expenses may be provided for a meeting during lunch time, held in a public space such as OIST café and restaurant. Such meetings must also meet the general requirements defined in PRP29.3.9.2.

- It is necessary to discuss a specific issue during the lunch time, due to time limitations of the guest's stay. (Requires prior approval of Vice President for Financial Management)
- Opinion exchange is required between a guest lecturer delivering a general speech or a special speech as defined in the Table Honorarium [Link: 26.9] and University employees. (Requires prior approval of Vice President for Financial Management)
- Opinion exchange is required between a guest and the President.

29.3.9.3 Exceptional Meeting Expenses

29.3.9.3.1 Alcoholic beverages

Offering of alcoholic beverages shall be strictly limited to meetings and ceremonies, without exception, involving outside guests and the University Officers (CEO/President, Vice-CEO, members of the Board of Governors, or Auditors) and linked to support for cooperation with other institutions, to public relations activities in recognition with business and scientific/ educational transactions and achievements, and other similar activities approved by the President on an individual basis.

29.3.9.3.2 Spouse and personal guest invitees

The expenses for spouse and personal guest invitees may be paid only under exceptional circumstances justified and approved by the President.

29.3.9.3.3 Other Exceptions to the General Rules

There are certain types of activities for which exceptions may be granted to enrich the academic life of the University and improve administrative efficiency.

A typical example of these exceptional cases is refreshments provided at the Colloquium Series of the University, with a purpose of creating the atmosphere where intellectual exchange across the boundaries of scientific disciplines is encouraged and promoted. For such cases, the limitations of internal attendance are not applied and submission of the list of participants is not required.

The requirements/conditions and procedures of such exceptional cases are provided in the guidelines and developed and maintained by the President. [link: Guidelines] Any meeting expenses which are not permitted by the rules in this chapter or the guidelines mentioned above, must not be reimbursed by the University.

29.3.10**Honorarium**

29.3.10.1 Advance request

In the event that an honorarium should be paid, it is necessary for the administrative section or research unit leader to apply by submitting an "Honorarium Request in Advance" through the ERP System and to receive approval from the pertinent budget holder [link: 27.3.2] and the Travel Expense Team of Accounting Section.

29.3.10.2 Amount of Honorarium

The honorarium amount may be determined by each budget holder [link: 27.3.2], subject to the guidelines specified in the appended Table 26.9 [link: 26.9]. However, if the honorarium amount exceeds the maximum, or if the honorarium category is "others", prior approval of the Vice President for Financial Management is required.

29.3.10.3 Creation of new Honorarium Category

New honorarium categories may be created with approval of the Vice President for Financial Management. (See Form 29.6.4[link: 29.6.4]) When the payment shall be made based on management guidelines of a delegated contractor, or the equivalent of such guidelines, the requestor shall provide a copy of the part of the guideline that describes the basis for determination of the amount.

29.3.10.4 Payment request

When applying for payment, the requestor shall provide the Travel Expense Team of Accounting Section with an "Honorarium payment request" via the ERP System, along with other necessary documents.

29.3.10.5 Travel Expenses

Travel expenses can be paid in addition to an honorarium, if necessary. However, in principle, per diem is considered to be included in honorarium, and will not be paid.

29.3.10.6 Others

For matters not specified in this regulation, requestors should furnish a thorough description of the problem to the Travel Expense Team of Accounting Section.

29.3.11**Travel advances**

Requests for advances should be held to a minimum and are only available to University Staff.

Travel advances are provided in the following situations:

- For University employees and students who are not able to make the advance payment anticipated for their travel
- When a travel expense bill is due before a trip is taken
- When the trip requires the use of travelers' checks

Travel advances should be obtained in close proximity to the travel dates. It must be documented by an estimated total cost of the trip. After completing travel, the traveler must clear the travel advance account within 30 days. Any advance that is not used for the trip must be returned to the university immediately after travel. If a trip is cancelled, the unused advance must be returned immediately. You may not clear the advance with expenses for trips other than the trip identified with the Travel Advance Form.

Failure to account for advances properly can or will result in the denial of subsequent advances, disciplinary action, deduction of the unreported amount from the traveler's salary, reductions in reimbursements for other travel expenses in the amount of the advance.

29.3.12**Direct Payment of Travel Expenses**

The University permits direct payment of travel expenses for group travel such as BOG of BOC meetings, Workshops, etc.

University Corporate credit cards can be used to pay allowable travel expenses in advance. Allowable business travel expenses paid for by departmental credit cards must be supported by the submission of Expense Reimbursement and expenses paid by corporate credit cards must be supported by copies of receipts.

Direct payment of Travel Expenses must be authorized PRIOR to the payment is made.

29.3.13 **Receipt Requirements**

In principle, original receipt or paid bill is required. The receipt must show the amount, date, place and essential character of the expense, and indicate that payment was made in full. Photocopies are not acceptable. Duplicate may be provided in case of loss of the original with explanation from the traveler.

29.3.13.1 Air Fare Receipt Requirements

Employees using PTAs do not need to provide proof of purchase of the airline ticket.

Booking confirmation without breakdown of charges and proof of payment are not acceptable for reimbursement.

Acceptable proof of purchase of an airline ticket includes either the original airline passenger receipt (typically the last coupon of the airline ticket) or e-ticket receipt. It must provide the following information:

Traveler's Name
Name of Air Carrier
Flight Number
Dates of Travel
Destination(s) or Legs of Trip
Fare/Class of Travel
Total Cost of Ticket

Required documents for airfare reimbursement are as follows:

- Itinerary
- Receipt
- Boarding pass or equivalent proof of travel
- Proof of Payment (if not documented on the itinerary/receipt).

Boarding passes must be submitted when a travel agent other than PTAs is used to book flights. A copy of boarding passes may be valid with the statement saying “I hereby claim the reimbursement of flights and I will NOT double claim this payment to other institutions”.

STOP-OVERS: Generally the University will only reimburse the cost of the airfare without a stop-over. To be a reimbursable travel expense, the traveler must provide passenger receipt indicating a stop-over during travel to the destination city and the traveler must explain the University related business reason for the stop-over.

If there is no business purpose of the University for a stop-over, prior approval by the traveling employee’s supervisor is required for this stop-over.

At the time ticket with stop-over is purchased, a print out of the airfare without the stopover must also be printed and must accompany the request for reimbursement. The University will reimburse the least expensive airfare.

29.3.13.2 Car Rental fees may be reimbursed upon presentation of an original receipt.

The acceptable car rental receipt is an itemized receipt provided by a place that is in the business of renting vehicles.

29.3.13.3 Receipts for Purchases:
Additional charges for books, publications, CDs, tapes, etc. from conferences or workshops are reimbursable with an original receipt. In such a case, "expense reimbursement" must be submitted along with other expenses that might have occurred in the month.

29.3.13.4 Parking Receipts:
Parking charges in garage or hotel are a reimbursable expense if supported by a receipt. For overnight parking charge, the parking expense must be separate from the lodging amount.

29.3.13.5 Missing Receipts:
The requirements listed below must be followed if the receipt for an expense is lost or unobtainable:

- In case of loss of a receipt, the traveler must contact the provider of the services. Most hotels, airlines, and car rental agencies will provide a copy of the receipt.
- If a receipt or duplicate cannot be obtained, the traveler must submit an itemized list indicating what the expenses were with a combination of credit card statement, copy of bankcard statement plus other documentation that might be necessary to justify the expense to an external audit or to the tax authorities.
- When submitting a duplicate copy of a receipt or alternate documentation (as with all expenses), the traveler must write and sign this statement for each missing receipt:
  "*I HEREBY CERTIFY that this expense is true and that I have incurred the described expense in the discharge of my official duties for the University and have not been reimbursed and have not filed nor will I file for reimbursement from any other source for said expense.****"***

29.4 **Responsibilities**

29.4.1 **Traveler**

It is the responsibility of the traveler to provide an accurate and truthful representation of allowable expenses to be paid by the University. Proper receipts and documentation, including allocations between personal and business activities (if applicable) must be clearly identified on the request. Personal expenses are not reimbursable. In the case of overpayment or payment of personal expense non eligible as business expense is found (miscalculation, advance payment by the University etc.), traveler must return the amount immediately to the University upon notification.

After the trip the traveler must submit a Travel Expense Settlement and supporting receipts to Travel Expense Team of Accounting Section. Allowable travel expenses must be properly substantiated and submitted within certain time limitations. Travel reimbursement request and accompanying documents should be supplied within 20 business days after the trip. Reimbursement claims will not be given priority beyond that date.

Processing takes about 10 business days.

Loss of Tickets and Other Transport Documents.

All transportation tickets should be guarded as carefully as cash. In cases where paper tickets are lost, the travel agency should be notified immediately so that alternative arrangements can be made.

Traveler should state purpose of business specifically in travel request form and attach the evidence of the purpose (date, place, program etc. of academic conference, meeting, discussion, seminar, event etc.) In case of meeting, discussion or joint research, please state name, date and time to meet.

If traveler shares accommodation with his/her traveler's spouse, family member or partner who is an employee of the University, both of the traveler must declare it in their travel request form accordingly.

If traveler claims per diem for weekends and national holidays, traveler needs to state concrete content of work in travel reimbursement form.

29.4.2 **Certified Approver(s)**

When reviewing the travel request, the certified approver(s) must verify the following based on travel request form and attached evidence (which shows dates and contents of academic conference, workshop, symposium, seminar, summer school etc, and clear specification of name, date and time for meeting with faculty or researcher of university or institution.).

- The allowability and reasonableness of the travel
- The availability of funds for the trip
- The trip falls within the intent of the funds being used
- University Travel Policy is followed

- The necessity of the travel if traveler travels to the same area and the same period with his/her spouse, family member or partner who is an employee of the University.

  When authorizing Travel Expense Settlement, it is the responsibility of the approver(s) (signatory) to
- review the expenses,
- ensure that the information contained on the report is properly documented and supported by attached receipts, in compliance with University policies, and
- ensure that the expenses are for University business purposes.
- ensure that the correct codes (budgetary unit (BU), travel number etc.) are used
- confirm concrete content of work for payment of per diem for weekends and national holidays.
- In the case of CEO/President and Vice CEO, mutual checking should be made

(only for requests)

29.5 Procedures

29.5.1 **Procedure for Travel request, travel** approval and advance payment ERP System

29.5.1.1 Travel request and approval

Travel request and approval is electronic and managed in OIST ERP system. See ERP manual/travel

29.5.1.2 Travel advances

Travel Advance is electronic and managed in OIST ERP system. See ERP manual/travel

29.5.1.3 Direct Payment of Travel Expenses

Direct payment of Travel expense is electronic and manages in OIST ERP system. See ERP manual/travel

29.5.2 **Procedures for travel expense reimbursement, per-diem and lodging allowance**

Travel expense reimbursement, per-diem and lodging allowance are electronic and managed in OIST ERP system. See ERP manual/travel

Procedures for “outside duty” reimbursement are electronic and managed in OIST ERP system. See ERP manual/expense reimbursement

29.5.3 **Request for Meeting Expense Reimbursement**

Procedures for Meeting Expense Reimbursement are electronic and managed in OIST ERP system. See ERP manual/Meeting Expense

NOTE: When requesting an approval for the exceptional meeting expenses [link: 29.3.9.3] in advance, notify explicitly so and provide a sufficient justification that the requested expenses meet the standard set out by the rules in this chapter, in OIST ERP system. In addition to the normal approval process, an approval by the President is required.

29.5.4 **Table of Amounts for Travel Expense Reimbursement**

(appendix &table) [link: 26.9]

29.6 **Forms**

29.6.1 **Travel request and reimbursement form**

Included in OIST ERP system.

29.6.2 **Missing receipt**

Missing receipt [link; https://groups.oist.jp/sites/default/files/imce/u302/Missing%20Receipt%20Form_0.pdf]

29.6.3 **A new traveler registration**

A new traveler registration [link; http://finance.oist.jp/en/dl_index.html]

29.6.4 **Application for Creation of a New Honorarium Category [link:]**

29.7 **Contacts**

29.7.1 **Policy Owner**

Vice President for Financial Management

29.7.2 **Other Contacts**

Travel Expense Team of Accounting Section

29.8 **Definitions**

Accountable Plan	A plan under which an employer reimburses an employee for expenses and is not required to report the reimbursement as taxable income to the employee. The employee must document business purpose, substantiate expenses, and return

	any amount in excess of substantiated expenses to the employer.
Allowable expense	A necessary, reasonable, and appropriate expense incurred for the primary benefit of University business and therefore permitted to be reimbursed or directly charged based on the permission of the University or by the terms of federally or privately sponsored agreements.
Appropriate Business Expense	An ordinary and reasonable charge for goods or services that fosters or supports the ongoing missions of the university.
Away from Home	For purposes of business expenses, "home" is defined as the person's regular place of business, not his/her personal residence. Travel expenses qualify as business expenses only if the traveler is away from home at a temporary work site.
Business travel	Travel for the purpose of conducting business for the sole benefit of the University.
Collision Damage Waiver/Liability Damage Waiver (CDW/LDW)	A type of insurance that provides protection for any damage that may occur to the vehicle you have rented. If renting a vehicle, make sure you have this coverage.
Daily Standard Allowance (DSA)	See *Per Diem*
Direct Deposit	A payment method in which the University directly deposits a payment into an employee's bank account. This method is available for travel payments only if the individual is an employee of the University and has elected direct deposit for his or her payroll check.
Domestic Travel	Travel within Japan

Employee	Employee is defined as someone who has been directly hired by the University. They can be either permanent or on fixed-term contracts. Part-time employees who have been hired directly by the University are also considered employees.
Extended Travel	Travel that exceeds 30 consecutive days.
Foreign National	An individual who is not a citizen of Japan
Faculty	Defined in Chapter 30.2.2.1.2.
Foreign Travel	Travel outside Japan or travel from and to Japan
Honorarium	Payment to an individual in return for professional counsel, a seminar or guest lecture, service on an OIST committee etc, at the request of the University
Incidentals Expenses	Minor expenses included in the *per diem* rate for "meals and incidentals" (M & I).
Key administrative staff	Staff that report directly to the President
Lodging Allowance	Allowance for accommodation including breakfast
Meetings	Meetings or Ceremonies to promote University activities, goals, and mission.
Miscellaneous Expenses	Expenses for ground transportation (e.g., taxis, airport shuttle services, public transportation) and other various non-personal expenses. Miscellaneous expenses include tips, mailing expenses, etc.
Moving Expenses	Travel expenses associated with an employee's move to a new regular place of business.

Official Travel	Travel on approved university business between "home" (i.e., regular place of business) and another destination. Travel between one's personal residence and one's regular place of business is commuting, not official travel.
Ordinary, Necessary, and Reasonable Expense	An expense is ordinary if it is normal and customary. An expense is necessary if it is appropriate and helpful to the business. An expense is reasonable if a prudent person would incur the expense in similar circumstances.
Original receipt	The original merchant receipt or invoice issued by the supplier or service provider to document and substantiate the business transaction. When the original receipt is not available or does not contain adequate information, a cancelled check, credit card receipt, supplier statement, or a paid notice will be accepted.
Outside Duty	Business travel within the area of 80 km that does not require lodging
Participating/preferred Travel Agencies <PTA>	Travel agencies at which you will receive the University's discounts or superior service for travel-related services, e.g., airfare, hotels, car rentals.
Per diem	Standard allowance for meals and miscellany expenses for travel with at least one of overnight stays (same as Daily standard allowance - DSA).
Personal Expense	An expense for personal items such as clothing, luggage, toiletries, newspapers, magazines, movies, or other entertainment.
Proof of Payment	Documentation that reflects date, amount, and that a payment was made (cash register receipt, credit card receipt, a bank or credit

	card statement, a copy of a check, or a cancelled check).
Receipt	A written acknowledgement that something has been received; some receipts do not include key information required by accountable plan rules such as date, amount, description of good or service, etc.
Senior Level Executive	Defined in Chapter 30.2.2.1.1.
Senior staff	CEO/President, Vice CEO, Executive Vice President, Provost, COO, Dean, Vice President, Faculty, Auditor
Signature Authority	The authority to make a payment from a unit operating account.
Sponsored Project	A signed award (grant, contract, or cooperative agreement) under which the university agrees to perform a certain scope of work for an external sponsor.
Sponsoring Agency	A governmental or private organization that provides funding for a sponsored project.
Substantiation	Written documentation to support an incurred business expense that includes the original receipt, documentation of business purpose, time and place, names of persons in attendance, and appropriate expense report or voucher for the incurred cost as evidence that the expenses were incurred or paid.
Sufficient Documentary Evidence	Information and documentation that, when taken as a whole, substantiates the expense and business purpose under the accountable plan rules. Sufficient documentation should include who, what, when, where, why, and how much.

Supervisor	Supervisor is the individual who evaluates the employee's performance, recommends salary adjustments, and is the hiring authority for the position.
Temporary Work Site	A work location away from an individual's regular work site. Travel expenses qualify as business expenses only if the traveler is "away from home" at a temporary work site. An assignment that is expected to last more than 12 months is classified as indefinite, not temporary.
Transaction Authority	The authority to commit the university to receive or expend resources.
Travel Advance	Payments made to or on behalf of a traveler prior to travel, and recorded in a receivable account in the university's accounting system.
Travel Expenses	For tax purposes, the ordinary, necessary, and reasonable expenses of traveling away from home to a temporary work site.

Appendix A Reimbursable Expenses

General Expenses (All Travel)
Expense Must be Required for University Business Trip
Transportation , *lodging and meal(1)*
Baggage charges a. Transportation charges for authorized excess baggage when carrying equipment necessary to complete official business b. Necessary charges for storage when such are a result from official business c. Charges for checking baggage d. Charges or tips at transportation terminals for handling property of the University and/or tips for services such as taxi, shuttle or courtesy transportation drivers.
Services of guides, interpreters, or drivers
Services of typists, data processors, or stenographers
Use of computers, printers, fax machines, and scanners when necessary to complete official business mission
Fees for conference/meeting rooms and equipment when necessary to complete official business mission
Official telephone calls/service, such as faxes, telegrams, Internet etc.
Lodging taxes
Laundry, cleaning, and pressing of clothing (To qualify for this expense, the traveler must incur a minimum of 4 consecutive nights on official University business.)
Energy surcharge and lodging fees when such fees are not optional. Example: Safe
Emergency purchases of materials or services (i.e., film, batteries, photocopying, etc.) when necessary to complete official business mission.
Sales tax

Special Expenses (Specific to Foreign Travel)
Expense Must be Required for University Business Trip
Passport and/or visa fees
Foreign country exit fees
Costs of photographs for passports and visas
Costs of birth, health, and identity certificates…..TBD
Charges for inoculations necessary for foreign travel

(1) *when not covered by per diem and lodging allowance*

Other Fees

(1) Many travel agencies charge ticket processing fees in addition to the actual cost of travel arrangements. Processing fees will be reimbursed by the University.

(2) Many airlines, particularly low cost airlines, charge fees to check luggage, select an aisle/window seat, early check-in, etc. If the traveler deems these services necessary and has the budget to support the fees, these fees will be reimbursed by the University.

(3) Excess Baggage

- Employees will be reimbursed for excess baggage charges in the following circumstances:
    - When traveling with heavy or bulk materials or equipment necessary for business
    - When traveling for more than fourteen days.
    - Documentation must be included with the Travel Expense Report explaining the nature of the excess baggage charge.

Appendix B Non-Reimbursable Expenses

The following miscellaneous expenses will not be reimbursed.

• airline/car rental upgrades
• babysitting or childcare costs
• car repairs/routine maintenance or locksmith charges
• clothing, luggage, briefcases
• credit card delinquency fees/finance charges/annual fees
• duplicate insurance on rental vehicles (CDW-See Rental Car Insurance)
• expenses for travel companions or family [link 29.2.4]
• expenses incurred during personal time not directly related with the business purpose.
• frequent-flyer miles
• health club facilities, saunas, massages
• helicopter services for airport transfers
• kennel fees and pet care for pets while on travel status
• loss/theft of cash
• loss/theft of personal property (lost baggage, etc.)
• magazines, books, newspapers, or movies
• non-compulsory health insurance coverage (annual fee)
• optional travel or baggage insurance
• parking or traffic violation tickets
• personal accident or property insurance
• personal entertainment/grooming/gifts/souvenirs

Caution: This list of non-reimbursable expenses is intended to be representative, not comprehensive.

Unallowable Air Travel Purchases/Expenses

(1) Airline Frequent Flyer Programs

(a) The University will not reimburse travelers for tickets purchased with frequent flyer miles.

(b) Frequent flyer memberships should not influence travelers to select a flight that is not the lowest priced flight available.

(c) Frequent flyer miles earned by any traveler during University business travel may be retained by the traveler for business use.

Employees are permitted to use personal airline miles, "points," or other for upgrades; however, the University will not reimburse employees for the cash value of these upgrades

(2) Airport/Airline Club Memberships

(a) Dues for membership in any airport/airline club are not reimbursable.

Appendix C Cost per Meeting

Attendee		Breakfast	Lunch	Dinner
Costs for Visitor （per person）		2,000 JPY	2,500 JPY	6,000 JPY
Maximum Costs for OIST members	One participant	2,000 JPY	2,500 JPY	6,000 JPY
	Two or more participants	4,000 JPY	5,000 JPY	12,000 JPY

Appendix D Approver and Consultant for Meeting expense

Requester	Approver	Consultant
Financial Management Division	COO	n/a
Research Unit / RSD	VPF	DOR
in other cases	VPF	n/a

Authority:

- Approved by the President
- Labor Standard Act
- Labor Contract Act
- Act on Securing, Etc. of Equal Opportunity and Treatment between Men and Women in Employment
- Act on the Welfare of Workers Who Take Care of Children or Other Family Members Including Child Care and Family Care Leave
- Act for Securing the Proper Operation of Worker Dispatching Undertakings and Improved Working Conditions for Dispatched Workers
- Act on Improvement, etc. of Employment Management for Part-Time Workers
- Act for Employment Promotion etc. of Persons with disabilities
- Act on Employment Security, etc. of the Elderly, etc.
- Act on Special Measures Concerning the Improvement of Establishing Working Hours, etc.
- Act on Securing the Payment of Wages
- Minimum Wages Act
- Act on the Collection, etc. of Insurance Premiums of Labor Insurance
- Industrial Accident Compensation Insurance Act
- Employment Insurance Act
- National Pension Act
- Health Insurance Act
- Long-Term Care Insurance Act
- Income Tax Act
- Local Tax Act
- Whistleblower Protection Act
- Industrial Safety and Health Act
- School Education Act
- Private School Act

Chapter 30. Human Resources

30.1 **Policy**

All OIST Graduate University employees, regardless of Type of Job or Job Class, are responsible for protecting and enhancing the wellbeing of the University community. The University accomplishes this by setting standards that guide how we conduct ourselves as employees and members of the University community.

Officers, supervisors and managers are responsible for recruiting and retaining high caliber employees to conduct the University's business competently, efficiently and effectively.

Human Resources (HR) matters must be handled consistently and equitably throughout the University.
The University complies with the Labor Standard Act (Act No. 49 of 1947) and other Japanese laws and regulations. HR matters are described in the Rules of Employment [Link:], Rules of Employment for Part-time Employees [Link:], Compensation Rules for Fixed-Term Employees [link:], and Compensation Rules for Permanent Employees [link:] (hereinafter referred to as "the Rules of Employment etc.") HR matters not described in "the Rules of Employment etc.", are governed by Japanese laws and regulations. This Chapter and the related following chapters (Chapter 31-41) are complemented by "the Rules of Employment etc." Unless stated otherwise, Chapters from 30 to 41, Japanese laws and regulations, "the Rules of Employment etc." and HR rules and procedures decided separately by the Vice President for Gender Equality and Human Resource Development apply to all types of Job and Job Classes of employees, academic and no-academic, regardless of funding source.

30.2 **General Considerations**

30.2.1 Equal Opportunity and Diversity

The University is committed to provide equal opportunities in all aspects of employment, for all persons, regardless of race, color, religion, national origin, physical or mental disability, medical condition, marital status, gender, sexual orientation, or age. (Chapter 1.3)[Link :]
The University actively promotes diversity, (including gender diversity) at the workplace, and will, whenever possible, actively recruit under-represented populations. The University will hire, transfer, and promote based on the qualifications of the individual to ensure equal consideration and fair treatment of all.
Under the supervision of the Vice President for Gender Equality and Human Resource Development, the Diversity and Welfare Section is responsible for overseeing the implementation of this equal opportunity policy and monitoring practices and procedures to ensure compliance with related laws and regulations as well as this policy.

30.2.2 Employee Categories

The University establishes categories of employee classification based on various characteristics and elements of each person's employment. This classification is not to create barriers among employees, but to provide appropriate and fair treatment based on the nature of their work, individual employment terms, and work schedules. It also helps determine employee and management responsibilities and employee eligibility for employee benefits.

30.2.2.1 Type of Job and Job Class

30.2.2.1.1 Senior Level Executive
Executive Vice President, Provost, Chief Operating Officer, Deans (including Dean of the Faculty Affairs and Dean of the Graduate School), Vice Presidents, General Counsel, and other positions specified by the CEO/President.

30.2.2.1.2 Faculty
Professors, Associate Professors, Assistant Professors, Adjunct Professors, Visiting Professors, and Distinguished Professors.

30.2.2.1.3 Researchers
Group Leaders, Research Specialists, Science and Technology Associates, Staff Scientists, Postdoctoral Scholars. Definitions for Researchers are described in "Guidelines for Title and Job Class" [link:].

30.2.2.1.4 Technicians
Research Unit Technicians. Definitions for Technicians are described in "Guidelines for Title and Job Class"[Link:].

30.2.2.1.5 Research Support Employees
Research Support Leaders, Research Support Specialists, and Research Support Technicians. Definitions for Research Support Employees are described in "Guidelines for Title and Job Class" [link:].

30.2.2.1.6 Administrative Employees
Associate Vice Presidents (Assistant Deans), Senior Managers, Managers, Assistant Managers, Specialists, Administrative Staffs, Research Unit Administrators, Information Technology Leaders, Information Technology Engineers, Laboratory Assistants, Research Assistants, Research Unit Assistants and Administrative Staff Assistants. Definitions for Administrative Employees are described in "Guidelines for Title and Job Class" [link:].

30.2.2.1.7 Constituent (External) Staff
External Administrative Staff and Agency Temp Staff. Definitions

for Constituent (External) Staff are described in "Guidelines for Title and Job Class" [link:].

30.2.2.2 Type of Employment

30.2.2.2.1 Permanent
Details are described in Article 3.1.a, Rules of Employment.

30.2.2.2.2 Fixed-Term
Details are described in Article 3.1.b, Rules of Employment.

30.2.2.2.3 Part-Time
Details are described in Article 3.1.a, Rules of Employment for Part-time Employees.

30.2.2.2.4 Non-Fixed Term
Details are described in Article 3.1.d, Rules of Employment and Detailed Stipulations for Non-Fixed Term Employment Agreement.

30.2.2.2.5 Non-Fixed Term part-time
Details are described in Article 3.1.b, Rules of Employment for Part-time Employees and Detailed Stipulations for Non-Fixed Term Employment Agreement.

30.2.2.3 Managerial Employees and Discretionary Employees

30.2.2.3.1 Managerial Positions
Details are described in Article 28, Rules of Employment and 4.11, Rules of Employment for Part-time Employees. A

30.2.2.3.2 Discretionary Employee
Details are described in Article 31, Rules of Employment and 4.12, Rules of Employment for Part-time Employees.

30.2.3 Corporate Officers

The HR policies do not apply to the Officers of the OIST School Corporation, unless stated otherwise. The Officers are the following positions prescribed by Article 35 of the Private School Act (Act No. 270 of 1949); the Governors, including the Chief Executive Officer (CEO)/President of the University and the Vice CEO of the University, and the Auditors.

30.3 Rules

30.3.1 Professional Conduct

Details are described in Chapter 4, Rules of Employment and Article 3, Rules of Employment for Part-Time Employees.

30.3.2 HR Policies, Rules and Procedures

HR matters are described in "the Rules of Employment etc.", and following Chapters complement the Rules of Employment:

Chapter 31. Hiring Process [Link: 31]
Chapter 32. Work Schedules and Breaks [Link: 32]
Chapter 33. Leave [Link: 33]
Chapter 34. Compensation [Link: 34]
Chapter 35. Benefits [Link: 35]
Chapter 36. Performance Evaluation [Link: 36]
Chapter 37. Leaving the University [Link: 37]
Chapter 38. Discipline [Link: 38]
Chapter 39. Resolving Complaints & Disputes [Link: 39]
Chapter 40. Staff Development and Awards [Link: 40]
Chapter 41. Workplace and Safety [Link: 41]

30.3.3 Employee Representative

The Employee Representative, is an employee who is representing at least half of all University employees, and is selected by the employees through an election or other democratic process. The Employment Representative may not be selected from amongst employees in the managerial positions specified in 30.2.2.3.1. [Link: 30.2.2]

30.4 **Responsibilities**

30.4.1 Employees

Regardless of their employment categories, all University employees must comply with Japanese laws and regulations, "the Rules of Employment etc." and OIST's policies, rules and procedures.

30.4.2 Supervisors

Supervisors are responsible for administering and applying Japanese laws and regulations, "the Rules of Employment etc." and OIST's policies, rules and procedures of HR (Chapters 30 – 41) equitably and fairly. The supervisor is also a person accountable for the supervision of his/her members.

30.4.3 Employee Representative

The Employee Representative deals with the matters which are necessary to conclude agreements between OIST and the representative at least half of all University employees according to Labor Standard Act.

30.4.4 Vice President for Gender Equality and Human Resource Development (VPGEHR)

The VPGEHR is responsible for overseeing implementation of "the Rules of Employment etc." and policies, rules and procedures of HR, based on Japanese laws and regulations. The VPGEHR shall maintain the Rules of Employment and administrative policies, rules and procedures of HR and set necessary guidelines for matters, subject to permission or approval by University. The VPGEHR shall also inform employees about "the Rules of Employment etc." and policies, rules and procedures of HR.

30.4.5 HR Management Section and HR Recruiting Support Section

HR Management Section and HR Recruiting Support Section shall assist the VPGEHR on HR matters.

30.5 **Contacts**

30.5.1 Policy Owner

Vice President for Gender Equality and Human Resource Development

30.5.2 Other Contacts

HR Management Section
HR Recruiting Support Section
Diversity and Welfare Section

30.8 **Definitions**

Authority:

- Approved by the President
- Labor Standard Act
- Labor Contract Act
- Act on Securing, Etc. of Equal Opportunity and Treatment between Men and Women in Employment
- Act for Securing the Proper Operation of Worker Dispatching Undertakings and Improved Working Conditions for Dispatched Workers
- Act on Improvement, etc. of Employment Management for Part-Time Workers
- Act for Employment Promotion etc. of Persons with disabilities
- Act on Employment Security, etc. of the Elderly, etc.

Chapter 31. Hiring Process

31.1 Policy

The OIST Graduate University encourages qualified candidates to apply for employment with the University and seeks to hire those individuals who best meet the needs of the University. In its recruitment and hiring practices, the University is committed to providing both employment and career development opportunities because this benefits both the individual and the University.

The University is also committed to equal opportunity employment policies and procedures and will ensure that all forms of recruitment provide equal opportunity for underrepresented populations, such as women and minorities.

31.2 General Considerations

Selection process rules (31.3.2) do not apply to faculty members, except for 31.3.2.5 [link: 31.3.2]. Please refer to the Faculty Handbook [link: 3.1] for guidance with regard to faculty.

31.3 Rules

31.3.1 Advertisement

31.3.1.1 In general, all job opportunities at the University must be posted internally and externally on the University website [link: http://www.oist.jp/].

31.3.1.1.1 In order to assure career development within the University, some vacant or new positions may be posted on the

internal website only, as determined by the Hiring Executive [link: 31.8.1] in consultation with the Hiring Approver.

31.3.1.2 To ensure that all potential internal and external qualified candidates have adequate opportunity to view and apply for jobs at the University, any notice of a vacant or new position must be posted for at least five business days before an employment offer may be made.

31.3.1.3 Exceptions to the requirement for website posting of employment opportunities may be granted if the position is part of a predetermined career path, is merely a reclassification due to change in duties, or resulted from a reorganization. These and any other posting exceptions must be approved by the Vice President for Gender Equality and Human Resource Development (VPGEHR).

31.3.2 Selection

31.3.2.1 University employees in principle, are hired following transparent and fair competitive process. This process normally includes reviewing application documents and conducting employment interviews by the Hiring Executive. Additional steps, such as checking references, may be conducted when the Hiring Executive, in consultation with the HR Management Section, determines it to be necessary.

31.3.2.3 Selection Committee. An advisory selection committee is formed when hiring a Permanent Employee or when the Hiring Approver [link: 31.8.2] considers it necessary. The committee may include external experts in addition to University employees. The committee will conduct collective reviews of candidates and offer advice and recommendations concerning the candidates.

31.3.2.4 To hire the Senior Level Executive provided in item 7, paragraph 2, Article 6 of the Bylaws, the CEO/President must obtain an approval from the Board of Governors. [link: 2.2]

31.3.2.5 All applicants for employment must be processed through the HR Management Section.

31.3.3 Travel Reimbursement for Candidates

The University reimburses employment candidates for reasonable expenses

incurred when traveling to the University or any other convenient place for an employment interview. To be eligible for reimbursement, candidates must be invited to the interview by the HR Management Section and must follow the Travel Policy regarding recruitment, [link: 29.2.6]

31.3.4 Documents to be Submitted

Details are described in Article 12, Rules of Employment and Article 2.2, Rules of Employment for Part-time Employees.

31.3.5 Probationary Period

Details are described in Article 13, Rules of Employment and Article 2.4, Rules of Employment for Part-time Employees.

A newly hired employee, must serve a probationary period, to allow him/her time to become proficient in the basic responsibilities of a new position, and permit the Hiring Executive to evaluate the individual's performance and suitability for the position.

31.3.5.1 Any decision about an extension of the Probationary Period (31.3.5.2) or about dismissal of the employee (31.3.5.3) must be approved by the Approver (in consultation with the selection committee, if one was formed for selecting the new hire for the position).

31.3.6 Reassignment (Transfer) and Temporary Transfers

31.3.6.1 Eligibility:

University employees are eligible to apply for a different position after 6 months in their current position. The 6 month requirement may be waived for special circumstances with approval by the Vice President for Gender Equality and Human Resource Development (VPGEHR).

31.6.2

Other details are described in Article 58, Rules of Employment and Article 2.4, Rules of Employment for Part-time Employees.

31.4 Responsibilities

31.4.1 Hiring Executive

The Hiring Executive must follow the established rules and procedures to ensure that equitable and efficient hiring practices are used throughout the University.

Delegation of the hiring process role, for below Manager-level employees, may be allowed at the discretion of the Hiring Executive, to the Supervisor of Section or Unit. Even in this case, however, the Hiring executive remains responsible for the hiring process including the final decision and is accountable for the supervision of relevant employee.

31.4.2 HR Management Section

The HR Management Section is responsible for posting jobs, processing applications, and providing necessary support to the Hiring Executive,. The HR Management Section serves as the secretariat of the selection committees.

31.4.3 Newly hired employees

Newly hired employees must submit documents specified in Article 12[link:], Rules of Employment and Article 2.2[link:], Rules of Employment for Part-time Employees. Employees must inform HR Management Section without delay, when any changes occur to details stated in the documents,

31.5 Procedures

31.5.1 How to Request a New Position.

31.5.1.1 When the need to fill a position is identified, the Hiring Executive must apply with a Personnel Requisition through the Talent Mobility Form (hereinafter referred to as ““TMF”). The Hiring Executive must be accountable for identifying hiring needs, developing the job description, for the position before requesting.
31.5.1.2 The HR Management Section initiates job posting upon receiving the Personnel Requisition through TMF. [link: 31.3.1]

31.5.2 Hiring Process after Selecting Candidates.

31.5.2.1 The Hiring Executive complete a Personnel Action through TMF to proceed with the hiring process Other related documents [link: 31.6] should also be submitted to HR Management Section.

31.5.2.2 With approval of the Hiring Executive and the Approver, the HR Management Section, sends out the offer letterto the selected candidate.

31.5.3 OIST ID Card

To issue OIST ID Card, please refer to "Regulations for OIST ID Cards"[link:].

31.6 Forms

See HR website [link: http://hr.oist.jp/recruit/index.html]

31.7 Contacts

31.7.1 Policy Owner

Vice President for Gender Equality and Human Resource Development (VPGEHR)

31.7.2 Other Contacts

HR Management Section

31.8 Definitions

31.8.1 Hiring Executive

Hiring Executive is a Senior Level Executive with the ultimate decision on offering a job to potential candidates.

31.8.2 Hiring Approver

Hiring Approver is a person who has an authority to approve the job description and the hiring process. Hiring Approver is normally the Vice President for Gender Equality and Human Resource Development (VPGEHR), but the Hiring Approver may be the President with regard to Senior Level Executives [link: 30.2.2] and other positions specified by the President.

Authority:

- Approved by the President
- Labor Standard Act
- Labor Contract Act
- Act on Securing, Etc. of Equal Opportunity and Treatment between Men and Women in Employment
- Act on the Welfare of Workers Who Take Care of Children or Other Family Members Including Child Care and Family Care Leave
- Act on Special Measures Concerning the Improvement of Establishing Working Hours, etc.

Chapter 32. Work Schedules and Breaks

32.1 Policy

The OIST Graduate University (the University) establishes the regular work schedule, breaks, and holidays. To accomplish the business objectives of the University, all employees are expected to be punctual and dependable in their attendance.

32.2 General Considerations

The University recognizes the importance of balancing work and family life, and supports employees by granting special accommodation of work schedule as appropriate, including flexible work schedules as well as exemption from (and restrictions on) overtime and late-night work, in keeping with relevant laws and regulations.

Furthermore, the University requires that administrative meetings (e.g., Senior Level Executive, Divisional, Sectional and Committee meetings) and mandatory research meetings be scheduled, and concluded, within regular business hours (9:00 – 17:30). However, emergencies and/or exceptional circumstances may be dealt with outside of usual business hours.

- Time for Childcare (32.3.1.2) [link: 32.3.1]
- Shortened Working Hours for Childcare and Nursing Care (32.3.1.3) [link: 32.3.1]
- Working Hours for Pregnant and Nursing Employees (32.3.3.1) [link: 32.3.3]
- Limitations on Unscheduled Work for Childcare (32.3.3.2) [link: 32.3.3]
- Limitations on Overtime Work for Childcare and Family Care (32.3.3.3) [link: 32.3.3]
- Limitations on Late-Night Work for Childcare and Family Care (32.3.3.4) [link:

32.3.3]

32.3 Rules

32.3.1 Work Schedules and Rest Period

32.3.1.1 Working Hours, Rest Period and Scheduled starting and finishing times.
Details are described in Article 21 [Link:], Rules of Employment and Article 4.1 [Link:], Rules of Employment for Part-time Employees.

32.3.1.2 Time for Childcare
Details are described in Article 40 [Link:], Rules of Employment and Article 4.3 [Link:], Rules of Employment for Part-time Employees.

32.3.1.3 Shortened Working Hours for Childcare and Family Care
Details are described in Article 45 and Article 53 [Link:], Rules of Employment and Article 4.4 [Link:], Rules of Employment for Part-time Employees.

32.3.1.4 Flextime System
Details are described in Article 29 [Link:], Rules of Employment.

32.3.2 Holidays

Details are described in Articles 22, 23 and 24 [Link:], Rules of Employment and Article 4.5 [Link:], Rules of Employment for Part-time Employees.

32.3.3 Overtime and Holiday Work

Details are described in Article 26 [Link:], Rules of Employment and Article 4.6 [Link:], Rules of Employment for Part-time Employees.

32.3.3.1 Working Hours for Pregnant and Nursing Employees
Details are described in Article 39 [Link:], the Rules of Employment and Article 4.7 [Link:], the Rules of Employment for Part-time Employees.

32.3.3.2 Limitations on Unscheduled Work for Childcare
Details are described in Article 46 [Link:], Rules of Employment and Article 4.8 [Link:], Rules of Employment for Part-time Employees

32.3.3.3 Limitations on Overtime Work for Childcare and Family Care

Details are described in Article 47 and Article 54 [Link:], Rules of Employment and Article 4.9 [Link:], Rules of Employment for Part-time Employees.

32.3.3.4 Limitations on Late-Night Work for Childcare and Nursing Care
Details are described in Article 48 and Article 55 [Link:], Rules of Employment and Article 4.10 [Link:], Rules of Employment for Part-time Employees.

32.3.4 Reporting for Work, Absence and Punctuality

Details are described in Article 25 [Link:], Rules of Employment and Chapter 5 [Link:], Rules of Employment for Part-time Employees.

32.3.5 Business Trips and Working Outside the Workplace

Details are described in Article 30 [Link:], Rules of Employment and Article 5.5 [Link:], Rules of Employment for Part-time Employees

32.3.6 External Professional Activities

Details are described in PRP Chapter 22 [Link:22.1.4] and in the Rules for External Professional Activities.

32.4 Responsibilities

32.4.1 Employees

All employees must report information regarding attendance, absence, lateness, leaving early, and business trips to their immediate supervisor on the System as necessary.

32.4.2 Supervisors

Supervisors must be well aware of the attendance status of their subordinates and must give them necessary guidance and instruction.

32.4.3 The Human Resource Management Section

When special accommodation of work schedule is requested, the Human Resource Management Section must respond to the applicant’s requests promptly after ascertaining their eligibility.

32.4.4 The Diversity Section

The Diversity Section is responsible for monitoring implementation of the special work schedule accommodations specified in this Chapter and for ensuring that

applicants and recipients of such accommodation do not experience discrimination or harassment.

32.5 Procedures

32.6 Forms

See HR website [link: http://hr.oist.jp/english/download/index.html]

32.7 Contacts

32.7.1 Policy Owner

Vice President for Gender Equality and Human Resource Development (VPGEHR)

32.7.2 Other Contacts:

HR Management Section

Diversity Section

32.8 Definitions

32.8.1 Holidays

Holidays are the days when employees have no work obligations.

32.8.2 Child (Japanese laws and regulations shall be applied.)

- Natural child
- Legally adopted child

32.8.3 Condition Requiring Care and the Applicable Family Member

Details are described in Article 49.1 [Link:], Rules of Employment.

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Authority:

- Approved by the President
- Labor Standard Act
- Act on Securing, Etc. of Equal Opportunity and Treatment between Men and Women in Employment
- Act on the Welfare of Workers Who Take Care of Children or Other Family Members Including Child Care and Family Care Leave
- Act on Special Measures Concerning the Improvement of Establishing Working Hours, etc.

Chapter 33. Leave

33.1 Policy

The OIST Graduate University recognizes the importance and value of leave in order for employees to have time away from work for a variety of reasons including recreation and physical and mental well-being. The University grants to eligible employees paid and un-paid leave. In addition, the University may instruct employees unable to work for certain reasons to take administrative leave.

The University also recognizes the challenges many employees face in meeting both work and family responsibilities. As an employer, the University believes that adequate and flexible leave policies assist employees in meeting these dual responsibilities and result in higher productivity in the workplace. The University conforms to the Act on the Welfare of Workers Who Take Care of Children or Other Family Members Including Childcare and Family Care Leaves (Childcare and Family Care Leave Act, Act No. 76 of 1991) and all relevant laws and regulations, allowing employees a healthier balance between family and work life. Any harassment or discriminatory treatment for using these programs is prohibited.

33.3 Rules

33.3.1 Annual Paid Leave

Details are described in Article 32 to Article 34 [Link:], Rules of Employment and Article 6.1 [Link:], Rules of Employment for Part-time Employees.

33.3.2 Summer Leave

Details are described in Article 37 [Link:], Rules of Employment.

33.3.3 Maternity Leave

Details are described in Article 38 [Link:], Rules of Employment and Article 6.2 [Link:], Rules of Employment for Part-time Employees.

33.3.4 Sick Leave

Details are described in Article 35 [Link:], Rules of Employment.

33.3.5 Special Leave

Details are described in Article 36 [Link:], Rules of Employment and Article 6.3 [Link:], Rules of Employment for Part-time Employees.

33.3.6 Childcare Leave and Nursing Care Leave

Details are described in Article 41 to Article 44 [Link:] and Article 49 to Article 52 [Link:], Rules of Employment and Article 6.4 [Link:], Rules of Employment for Part-time Employees.

33.3.7 Measure Relating to Health Care During Pregnancy and Childbirth

Details are described in Article 72 [Link:], Rules of Employment and Article 6.5 [Link:], Rules of Employment for Part-time Employees.

33.3.8 Administrative Leave

Details are described in Article 60 to Article 64 [Link:], Rules of Employment.

33.4 Responsibilities

33.4.1 Persons planning to take Leave

Persons planning to take Leave must give notice of the dates and duration of the leave (along with justification for Special Leave) in advance, to his/her immediate supervisor through the Working Time Management System. Employees are encouraged to make leave schedules in a planned manner.

33.4.2 Supervisors

Supervisors are responsible for balancing the individual employee’s needs, the workload of coworkers and effective business operation under their control.

33.4.3 The HR Management Section

The HR Management Section is responsible for administering the leave policies fairly, and providing necessary guidance regarding the leave policies to

employees and supervisors.

33.4.4 The Diversity Section

The Diversity Section is responsible for monitoring the implementation of pertinent leave, as specified in this Chapter, and for ensuring that applicants and users of such leave, will not experience discrimination or harassment, as a result of taking leave.

33.5 Procedures

33.6 Forms

See HR website [link: http://hr.oist.jp/english/download/index.html]

33.7 Contacts

33.7.1 Policy Owner

Vice President for Gender Equality and Human Resource Development (VPGEHR)

33.7.2 Other Contacts

HR Management Section
Diversity Section

33.8 Definitions

33.8.1 Child

Please refer to 32.8.1[Link].

33.8.2 Condition Requiring Care and the Applicable Family Member

Please refer to 32.8.2[Link].

Authority:

- Approved by the President
- Labor Standard Act
- Act on Securing, Etc. of Equal Opportunity and Treatment between Men and Women in Employment
- Act on Securing the Payment of Wages
- Minimum Wages Act
- Act on the Collection, etc. of Insurance Premiums of Labor Insurance
- Industrial Accident Compensation Insurance Act
- Employment Insurance Act
- National Pension Act
- Health Insurance Act
- Long-Term Care Insurance Act
- Income Tax Act
- Local Tax Act
- Act Concerning Access to Information Held by Independent Administrative Institutions, etc.

Chapter 34. Compensation

34.1 Policy

The OIST Graduate University administers compensation policies and programs to reflect the value of job duties and responsibilities and to provide competitive and equitable pay. The University's compensation policies are designed to accomplish the following goals:

- Allow the University to attract, retain, and motivate competent employees by establishing and maintaining a salary structure that is internationally competitive;
- Promote internal equity and consistency across diverse University functions;
- Establish salary ranges that are broad enough to provide flexibility for management at the same time as respecting budgetary restraints;
- Provide the foundation for a performance-based pay system; and
- Uphold transparency and accountability in administrating personnel costs to funding bodies and general public.

34.2 General Considerations

34.2.1 Equal Opportunity

The compensation policies will be consistent with the Equal Opportunity Policy

[link: 1.3.2], and there will be no discriminatory treatment in compensation due to race, color, religion, national origin, ancestry, physical and mental disability, medical condition, marital status, gender, sexual orientation, or age.

34.2.2 Accountability to General Public

As an entity established by a special Act and initially funded by the Japanese Government, the University is required to provide salaries that are appropriate to the work and understandable to the general public, taking into consideration similar salaries of national government employees. The University will make available information regarding the salary levels of its employees and Officers every fiscal year, based on guidance by the government ministries.

34.3 Rules

34.3.1 Categories of Compensation

Compensation (except for that of Administrative Assistants [link: 34.3.7]) will comprise;

- Annual Salary [link: 34.3.2],
- Year-End Bonus [link: 34.3.3],
- Overtime Premium [link: 34.3.4], and
- Allowances [link: 34.3.5];
  - Commuting Allowance (34.3.5.1),
  - Housing Allowance (34.3.5.2), and
  - Away from Home Allowance (for Permanent Employees) (34.3.5.3).

34.3.2 Annual Salary

The University maintains a pay structure based on job categories and responsibility levels. That is, the University groups positions that are similar in nature and difficulty in terms of duties, responsibilities, and compensation (see 34.3.2.1). The University studies compensation trends in these job categories (and levels) in order to determine equitable and consistent rate structures, and to maintain a competitive position in the job market.

34.3.2.1 Job Classification

All University employee positions (except for those of wage employees which are defined in 34.3.7[link: 34.3.7]) are separated into job categories (classification based on similarity of duties and activities) and job levels (classification based on relative difficulty of the job measured by factors such as 1) responsibility, 2) expected knowledge, skills, abilities and experience, and 3) complexity of problems) by evaluating job descriptions.

(Chapter 31.5.1.3)[link: 31.5.1]

34.3.2.1.1 Promotion

"Promotion" is to be promoted to a higher job rank given the result of the annual performance evaluation and its abilities. Review of the Salary Review Committee: SRC is necessary for this promotion.

34.3.2.1.2 Demotion・Salary Decrease

Demotion is a movement to a lower job class from the current position. An Employee is subject to demotion when;

- An Employee is rated "Needs Improvement" (3 rating scale, Excellent, Good, Needs Improvement) for 2 (two) consecutive years at the Annual Performance Evaluation
- The University determines that the employee assigned to his/her position clearly lacks the necessary qualifications for the position. This demotion must be reviewed by the Salary Review Committee.
- An employee fails to meet the University's performance standards and the University considers it necessary to demote him/her as a disciplinary action （PRP38.3.5）

Following demotion, salary will be reduced by a maximum of 10% of the employee's current salary.

34.3.2.2 Salary Plan

34.3.2.2.1 Each job level of each job category has an annual salary range with:

- Mid Point: Represents average market income for each level.
- Minimum: a specified percent below Mid Point.
- Maximum: a specified percent above Mid Point.

34.3.2.2.2 The rate range for each level is established and annually reviewed considering various factors.

34.3.2.2.3 Based on the annual review, changes in rate ranges are proposed by the Vice President for Gender Equality and Human Resource Development (VPGEHR) as necessary. With the review of the SRC established by the CEO/President, these changes are usually made effective April 1.

Changes in rate ranges are applied uniformly to all employees in the range on the day the changes become effective in principle.

34.3.2.2.4 Individuals will be paid at a rate within the range according to their ability, training, experience, performance and internal equity, subject to the approval of the Vice President for Gender Equality and Human Resource Development (VPGEHR), or the CEO/President for Senior Level Executives and Faculty members.
Annual Salaries of the employees whose contract terms are less than 1 year shall be proportionated to the length of the contract.

34.3.2.2.5 The Additional Allowance shall be paid based on duty and responsibility except the base salary if the chief Executive Officer(CEO)/President set down the criteria separately.
In that case, preceding Chapter 34.3.2(Annual Salary) should not be applied/

34.3.2.3 Merit Increase

34.3.2.3.1 Merit increase is a salary increase program designed for permanent increases to Annual Salaries adjusted by the result of annual review of the employee's performance. The performance of employees other than Faculty members and researchers is annually assessed and rated by the Annual Performance Evaluation (APE) results. [link: 36]

34.3.2.3.2 A "Merit Increase Guideline" that specifies an increase percent for each performance rating, is proposed annually by the Vice President for Gender Equality and Human Resource Development (VPGEHR) and reviewed by the SRC. The Guideline is set in view of trends in the cost of living, competitiveness of the job market, University budgets, and other relevant factors.

34.3.2.3.3 Eligibility. Employees are not eligible for salary increase if:

- Their salaries are equal to their job level Maximum salary;
- They have been continuously employed by the University for less than 3 months;
- They are on Administrative Leave [link: 33.3.9];

- They have been on leave without pay for a period longer than 9 months during the current fiscal year;
- They are not subject to the Annual Performance Evaluation, as is the case typically for Postdoctoral Scholars; or
- The length of their employment contracts is 1 year or less.
- Faculty members and APE eligible employees whose age reaches beyond the following at the beginning of the new fiscal year (as of April 1)
  - Faculty Members: 70
  - Permanent Employee: 65
  - Fixed Term Employee (including Continuing Appointments): 65

34.3.2.4 A Merit Increase does not guarantee an annual salary increase every year. The salary may fluctuate depending on the change in the rate ranges, the result of each employee's performance review, and other relevant factors.

34.3.3 Year-End Bonus

Year-End Bonus may be given to a relatively small number of individuals who made a significant achievement or contribution to the University, based on their APE. A "Year-End Bonus Guideline," proposed by Vice President for Gender Equality and Human Resource Development (VPGEHR) and approved by the SRC, will specify the percentage of the bonus relative to annual salary, criteria for the bonus, and other relevant matters.

Employees who are not eligible for a Merit Increase are similarly not eligible for Year-End Bonus.

34.3.4 Overtime Premium

34.3.4.1 Overtime Premium is paid monthly to employees for each hour they are instructed by an authorized supervisor to work in excess of scheduled working hours.

34.3.4.2 The amount of Overtime Premium per hour is calculated by multiplying the amount of an employee's hourly salary (Chapter 34.3.6.5[link: 34.3.6]) with the overtime premium rate specified below.

- Work exceeding the scheduled working hours on days other than statutory holidays (Sundays and national holidays)

- Up to 60 hours: 25 percent
- More than 60 hours: 50 percent

- Work on statutory holidays (Sundays and national holidays): 35 percent
- Work at late-night (after 10:00 pm and before 5:00 am): additional 25 percent

34.3.4.3 The Amount of Overtime Premium for Part-time Employees are as stipulated in the Compensation Rules for Part-time Employees [link:].

34.3.5 Allowances

34.3.5.1 Commuting Allowance

A Commuting Allowance is paid to employees commuting over a distance of more than 2 kilometers.

The amount of each commuting allowance is determined according to factors such as measures of commuting and distances in the case that employees use automobiles for commuting, as specified in the attached table. [link: http://hr.oist.jp/english/income/index.html]

34.3.5.2 Housing Allowance

A Housing Allowance is paid to full-time employees who rent housing for their own residences and pay the rent themselves. However, a Housing Allowance shall not be paid to full-time employees who own a house within Okinawa Main Island or assumes ownership of house within Okinawa Main Island in principle.

The amount is determined based on the attached table. [link: http://hr.oist.jp/english/income/index.html]

34.3.5.3 Away from Home Allowance

An Away from Home Allowance is paid to Permanent Employees who change their residence to outside of Okinawa (living separately from their spouse) due to a relocation of workplace instructed by the University or Permanent Employees under similar circumstances approved by Vice President for Gender Equality and Human Resource Development (VPGEHR).

The monthly amount is determined based on the attached table. [link: http://hr.oist.jp/guideline/pdf/Compensation_Regulations_for_Permanent_Employees_je.pdf#page=14]

34.3.6 Rules of Payment

34.3.6.1 Pay Date. Compensation is paid monthly (for the first day to the last day of the month) on the 17th of the every month (or on the closest preceding business day if the 17th falls upon a holiday.)
When an employee is hired, retires, takes Administrative Leave, or experiences any other changes which affect compensation during the course of the month, his/her monthly compensation, Commuting Allowance and Housing Allowance for that month is calculated on a pro-rated basis based on the number of scheduled work days.

34.3.6.2 Early Payment. At the request of an employee, early payment of compensation for past work may be made at the discretion of the University when the employee or individuals dependent on his/her income is in the following circumstances;

- Required to return to their hometown for unavoidable reasons for a period of more than a week; or
- Becomes burdened with costs arising from marriage, funeral, birth, illness, calamity or death.

This also applies to the case where an employee leaves the University for retirement or dismissal.

34.3.6.3 Pay Method. Compensation is directly paid in cash to employees. However, with the consent of the employee, it may be paid by electronic transfer directly into saving accounts in a bank or other financial institutions designated by the employee.

34.3.6.4 Deduction. Compensation is paid after deducting the payments that the University is allowed or required to deduct under laws, regulations or a written agreement concluded with the Employment Representative.

34.3.6.5 Monthly, Daily, Hourly Salary. The amount of monthly, daily and hourly salaries are calculated by the following formulas:

- Monthly: [Annual Salary] divided by 12 (or the number of months of the employment contract if that is less than 12.)
- Daily: [Monthly Salary] divided by [[the number of days of the month] minus [the number of holidays of the month]]
- Hourly: [Monthly Salary] divided by [the average monthly number of regularly scheduled working hours]

34.3.6.6 Fractions. In the calculation of compensation, fractions of less than 0.5 yen will be rounded down and fractions of between 0.5 yen or more and less than 1 yen will be counted as 1 yen.

34.3.6.7 Absence and Leaves. The amount for each day and each hour of absence (including lateness and leaving early) or un-paid leaves, calculated with daily and hourly salary (34.3.6.5), will be deducted from the monthly salary.
During the period of the paid leave (except for Administrative Leave) listed in Chapter 33.3.1 [link: 33.3.1], the regular compensation to be paid when employees work for scheduled working hours will be paid.
Compensation for employees on Administrative Leave is set forth in Chapter 33.3.9 [link: 33.3.9].

34.3.7 Salary of Administrative Assistants

34.3.7.1 Categories of Compensation. Compensation of Administrative Assistants (part-time employees (Chapter 30.2.2.3.2)[link: 30.2.2] who are engaged in routine clerical duties is usually made up of:

- Base Salary;
- Overtime Premium [link: 34.3.4]; and
- Commuting Allowance [link: 34.3.5].

34.3.7.2 Base Salary. Base Salary is determined by the number of scheduled work days per month and an hourly wage individually decided by the HR Management Section between 700 and 2,500 yen per hour depending on their job description and their experiences.

34.3.7.3 Compensation is paid monthly with the last day of the month as the wage cutoff date, on the 17th day of the following month (or on the closest preceding business day if the 17th falls upon a holiday.)

34.3.7.4 Reduction of Compensation. When an Administrative Assistant does not work during his/her scheduled work hours (aside from paid holidays), the employee's compensation is reduced by one hour of wages for each hour the employee does not work.

34.3.7.5 The following provisions are applied to Administrative Assistants.

- Overtime Premium (34.3.4)
  ("Hourly salary" in 34.3.4[link: 34.3.4] is replaced by "hourly

wage.”)

- Rules of Payment (34.3.6) except for 34.3.6.1, 34.3.6.5, and 34.3.6.7[link: 34.3.6].

34.3.8 Temporary Measures for Transition

Notwithstanding the rules set forth from 34.3.1 through 34.3.8, with regard to any matters of employee compensation, the provisions of the following rules basically transferred from the OIST Promotion Corporation will be applicable for the time being in order to achieve a smooth transition from the OIST Promotion Corporation to the OIST School Corporation.

- Compensation Rules for Permanent Employees
- Compensation Rules for Fixed-term Employees
- Compensation Rules for Administrative Assistants
- Compensation Rules for Graduate Students Research Assistants

34.3.9 Compensation for Full-time Officers

34.3.9.1 Categories of Compensation. Compensation of full-time Officers (the CEO/President, the Vice CEO, and Full-time Auditor) comprises:

- Base Salary;
- Special Adjustment Allowance;
- Commuting Allowance; and
- Housing Allowance.

34.3.9.2 Base Salary. Amount of Base Salary is determined by the Board of Governors within the maximum amount specified in the following table:

Officers	The maximum amount (yen)
The CEO	30,000,000
The Vice-CEO	20,000,000
Auditor	15,000,000

34.3.9.3 Special Adjustment Allowance. A Special Adjustment Allowance may be paid to full-time Officers when it is deemed necessary in consideration of their experience regarding internationally excellent scientific research and education, difficulty of duties, past achievements, and anticipated contributions.

The amount of Special Adjustment Allowance is determined by the Board of Governors (BOG) after consultation with the cabinet Office.

34.3.9.4 Commuting Allowance. Rules on Commuting Allowance for

employees (34.3.5.1[link: 34.3.5]) are applied to Full-time Officers.

34.3.9.5 Housing Allowance. Rules on Housing Allowance for employees (34.3.5.2[link: 34.3.5]) are applied to Full-time Officers.

34.3.9.6 Pay Dates. Compensation is paid monthly (for the first day to the last day of the month) on the 17th of the every month (on the closest preceding business day if the 17th falls upon a holiday.)
When an Officer is newly appointed, or resigns or is dismissed, during the course of the month, his/her monthly compensation, Commuting Allowance and Housing Allowance of that month is calculated on a pro-rated basis based on the number of business days. However, the entire amount of the monthly compensation is paid when the Officer dies during the course of the month.

34.3.9.7 Pay Method. The compensation of Officers is paid, after deducting all amounts that are to be deducted from the Officer's compensation by law, directly in cash or via bank transfer to the deposit or saving account designated by the Officer.

34.3.9.8 Monthly Compensation. Amount of monthly compensation is calculated by the following formula:

[[Base Salary] + [Special Adjustment Allowance]/12 (or the number of months of the appointment contract if that is less than 12)

34.3.9.9 Fractions. In the calculation of compensation, fractions of less than 0.5 yen will be rounded down and fractions of between 0.5 yen or more and less than 1 yen will be counted as 1 yen.

34.3.10 Part-time Officers

The compensation of Part-time Officers is paid as determined separately by the Board of Governors in accordance with their position, considering their working arrangements.

34.4 Responsibilities

34.4.1 HR Management Section

The HR Management Section is responsible for administering the compensation policies fairly and accurately.

34.4.2 Vice President for Gender Equality and Human Resource Development (VPGEHR)

Vice President for Gender Equality and Human Resource Development (VPGEHR) is responsible for reviewing the salary structure annually and proposing necessary changes to the SRC. VPGEHR is also responsible for ensuring that individual salary levels properly reflect various elements and maintain internal equity.

34.4.3 CEO/President

The CEO/President shall establish the SRC and appoint the committee members from OIST Graduate University employees in the relevant positions. The Office Manager of the President Office will serve as the secretariat of the SRC.

34.4.4 Employees

All University employees and officers must promptly notify the HR Management Section of any changes that could affect their allowances, such as commuting distance or location of residence.

34.5 Procedures

34.6 Forms

34.7 Contacts

34.7.1 Policy Owner:

Vice President for Gender Equality and Human Resource Development (VPGEHR)

34.7.2 Other Contacts:

HR Management Section

34.8 Definitions

Authority: Approved by the President

Chapter 35. Benefits

35.1 Policy

The OIST Graduate University provides benefits to eligible employees and their dependents based on employment categories, length of service, and other criteria.

In addition to the benefits directly provided by the University, full-time employees and part-time employees with scheduled working hours more than the standard are eligible for the Private School Mutual Aid System, comprising medical (including dental) insurance, retirement pension, and other benefit systems, pursuant to the relevant laws and regulations. The Vice President for Gender Equality and Human Resource Development provides information about these benefits.

35.3 Rules

35.3.1 Retirement Plan

The Employee Retirement Allowance Plan (ERAP) provides eligible employees with a retirement benefit (lump-sum payment) based on their years of service with the University as employees.

For a smooth transition from the OIST Promotion Corporation to the OIST School Corporation, eligibility for the ERAP is limited to Permanent Employees employed as of the day before the transition (for the time being). During the period until the implementation of a new plan(s), the ERAP will be administered pursuant to the Rules of Retirement Allowance [link: http://hr.oist.jp/english/guideline/pdf/Employee_Retirement_Allowance_Payment_Regulations_e.pdf] whose provisions are basically the same as the rules before the transition.

35.3.2 Retirement Plan for Officers

The Officer Retirement Allowance Plan (ORAP) provides full-time Officers with a retirement benefit (lump-sum payment) based on their years of service with the University as officers.

35.3.2.1 Calculation. Amount of the retirement allowance under the ORAP is determined by the following formula;

[Monthly Base Salary (34.3.10.2) as of the date of retirement] multiplied by [months of service] multiplied by 0.125 multiplied by 83.7/100

multiplied by [Performance Evaluation Rate]

35.3.2.1.1 The number of months of service is calculated from the date of appointment. Fractions of less than 1 month are counted as 1 month.

35.3.2.1.2 The Performance Evaluation Rate (PER) is determined between 0.0 and 2.0 by a committee designated by the Board of Governors.

35.3.2.2 Payment. Retirement Allowance is paid to Officers when they retire or they are dismissed, or to their bereaved family should they die. However, the allowance is not paid to Officers who are dismissed under the Item 1, Article 11 of the Bylaws of the OIST School Corporation. [link: https://groups.oist.jp/sites/default/files/imce/u113/oistsc_bylaws.pdf]
Retirement Allowance is paid within 1 month after the date of the retirement or the dismissal unless there are special circumstances. The allowance is paid after deducting all amounts to be deducted pursuant to the relevant laws.

35.3.2.3 Implementation. The payment procedures, exceptional cases, and other necessary items for the implementation of the ORAP are defined in the guidelines [link: https://groups.oist.jp/sites/default/files/imce/u113/35.3.2.3_ImplementationoftheOfficersRetirementAllowancePlans.pdf] established by the Vice President for Gender Equality and Human Resource Development.

35.3.2.3.1 Transitional measure: In applying the provision of 35.3.2.1, the term “83.7/100” in the provision shall be “98/100” from April 1, 2013 to September 30, 2013, shall be “92/100” from October 1, 2013 to June 30, 2014, and shall be “87/100” from July 1, 2014 to December 31, 2017.

35.3.3 University Housing Program

The University owns several houses (Seaside Faculty Housing) at the Seaside Campus, some of which is available for residential use of eligible members of the University community. In addition, the University may rent houses (Rental Housing) in the area surrounding the campus for the same purpose. The Division of Buildings and Facilities Management is in charge of the management and standards regarding the administration of Rental Housing are laid out in the Off-Campus Rental Housing Regulations [link;]

Rules regarding short-term stays at Seaside Faculty Housing[link: 21.3.1.2] are provided separately.

35.3.3.1 Eligibility: Full-time Officers, Vice Presidents and equivalents , Faculty Members and other employees under special circumstances approved by the President.
Rental Housing is not available for those who already have residence within 60 km from the working place.

35.3.3.2 Usage Agreement. A usage agreement must be signed between an eligible user and the University before starting use. User obligations are detailed in such agreements.

35.3.3.3 Usage Fees

35.3.3.3.1 On/Off-Campus Rental Housing. Residents of Rental Housing are charged by the University usage fees of 20 percent (50 percent for Officers) of the rent (the maximum rent is specified in the attached table [link:].)

35.3.3.3.2 When the house is occupied or vacated during the course of a month, the fees are calculated on a per diem basis.

35.3.3.3.3 Usage and other fees charged by the University are deducted from the renter's compensation each month.

35.3.4 Special Assistance

The University provides special assistance to eligible University members when it is considered particularly necessary to achieve the University's mission of recruiting and retaining highly talented individuals.

35.3.4.1 Eligibility. Full-time Officers and other individuals as determined by the CEO/President.

35.3.4.2 Special assistance includes: lending of cars, furniture, and other similar items, as well as providing childcare and other services, deemed necessary by the CEO/President. Such assistance must be within socially acceptable limits.

35.3.4.3 Details of special assistance must be clearly defined in the employment contract.

35.4 Responsibilities

35.4.1 HR Management Section

The HR Management Section is responsible for carrying out administrative procedures related to the mutual aid system for eligible employees and providing necessary information with employees.

The HR Management Section is responsible for administering the benefits programs described in this chapter.

35.5 Procedures

To apply for the University Housing Program, complete and submit a Form [link: 35.6] to the Division of Buildings and Facilities Management.

35.6 Forms

35.6.1 Application for Seaside Faculty Housing

Please contact the Division of Buildings and Facilities Management.

35.6.2 Application for Rental Housing

Please contact the Division of Buildings and Facilities Management.

35.7 Contacts

35.7.1 Policy Owner:

Vice President for Gender Equality and Human Resource Development (VPGEHR)

35.7.2 Other Contacts:

HR Management Section [link: 2.5]

Division of Buildings and Facilities Management (Seaside Faculty Housing and Off-Campus Rental Housing) [link: 2.5]

35.8 Definitions

Authority: Approved by the President

Chapter 36. Performance Evaluation

36.1 Policy

The OIST Graduate University's Annual Performance Evaluation (APE) program encourages ongoing communication between supervisors and staff in order to foster performance improvement and career development. Supervisors are required to hold performance evaluation discussions with all employees whom they directly supervise. The APE program is also used in determining salary merit increase.

Excluded from this chapter are the following:

- Faculty Members;
- Researchers;
- Part-time Employees.

36.1.1 Review by the Salary Review Committee: SRC

SRC will review the related guidelines, parameters and scope for the APE.

36.3 Rules

36.3.1 Evaluation Period and Schedules

Performance evaluation is conducted annually to evaluate the employee's performance during the previous fiscal year and to set goals for the upcoming year. The supervisor may conduct a performance evaluation more frequently if it is deemed necessary.

Performance evaluation schedules are determined each fiscal year by the Vice President for Gender Equality and Human Resource Development (VPGEHR) and announced to employees. Generally, supervisors are expected to complete their evaluation discussions by the middle of March, and the results are reflected in the salary merit increases in April of the following fiscal year.

36.3.2 Goal Setting and Coaching

At the beginning of evaluation period (normally April every year), employees are expected to work with their supervisors to develop a set of measurable and achievable goals that can be worked on during the performance period. Supervisors are expected to actively engage in providing feedback and coaching based on the employee's level of achievement toward each goal.

36.3.3 Evaluation Elements

Employee Evaluation is conducted by Performance Evaluation (Evaluation of the performance delivered by the employee against pre-set annual goals), and Value Competency relevant to the employee's job grade will also be taken into consideration.

Employees are rated for each element and given an overall rating by their immediate supervisors on the on-line system [link:] based on the Employee Evaluation Implementation Regulations [link: 36.5.1] developed separately by the Vice President for Gender Equality and Human Resource Development (VPGEHR).

36.3.4 Confirmation and Adjustment

Evaluation results are submitted to and confirmed (and adjusted if necessary) by the Supervisor's Supervisor (hereinafter as "Certifier") to ensure fair and consistent evaluations throughout the organization. The Certifier is usually the supervisor's supervisor, designated separately by Vice President for Gender Equality and Human Resource Development (VPGEHR).

36.3.5 Disclosure of Evaluation Results

Confirmed evaluation results are disclosed to the evaluated employees. Employees have access to evaluation documents upon request and may make copies.

36.3.6 Complaints Procedures

Employees may complain in confidence about the evaluation results through the Compliant Procedures developed by Vice President for Gender Equality and Human Resource Development (VPGEHR). Every complaint is taken seriously by the HR Management Section.

Any harassment and discriminatory treatment that is in response to the filing of a complaint is prohibited.

36.3.7 Retention of Evaluation Documents

All evaluation documents are deemed confidential and are electronically sent to the HR Management Section to keep in confidential files for a minimum of 5 years, or longer if there is a good business reason.

36.3.8 Implementation

The Employee Evaluation Implementation Regulations [link: 36.5.1] prepared by the Vice President for Gender Equality and Human Resource Development (VPGEHR) provides details necessary to implement this policy, such as treatment of employees who are hired or transferred or who took a leave during the course of a fiscal year.

36.4 Responsibilities

36.4.1 All employees to whom the APE program applies

All employees to whom the APE program applies must develop a set of goals, in collaboration with their supervisors, at the beginning of each evaluation period in accordance with the Employee Evaluation Implementation Regulations [link: 36.5.1].

36.4.2 Supervisors

Supervisors are responsible for evaluating their staff in accordance with the Employee Evaluation Implementation Regulations [link: 36.5.1] . Supervisors are expected to engage in on-going communication with their staff and to provide feedback and coaching throughout the evaluation period.

36.4.3 Certifiers

Certifiers are responsible for ensuring that evaluations are conducted fairly and in a consistent manner. Certifiers must make adjustments in evaluation results if necessary for that purpose.

36.4.4 Vice President for Gender Equality and Human Resource Development (VPGEHR)

Vice President for Gender Equality and Human Resource Development (VPGEHR) provides the Employee Evaluation Implementation Regulations [Link: 36.5.1] to implement the APE program, and is responsible for the management of the program. VPGEHR also prepares the Complaint Handling Guidelines [Link: 36.5.2].

36.4.5 HR Management Section

The HR Management Section is responsible for implementing the Annual Performance Evaluation program. The HR Management Section must provide employees, supervisors, and Certifiers with necessary training and guidance for the Performance Evaluation. The HR Management Section is also responsible for developing and managing the complaint procedures and for handling complaints in accordance with those procedures.

36.5 Procedures

36.5.1 Employee Evaluation Implementation Regulations

Employee Evaluation Implementation Regulations [link:]

36.5.2 Complaint Handling Guidelines
Complaint Handling Guidelines[link:]

36.6 Forms

36.7 Contacts

36.7.1 Policy Owner

Vice President for Gender Equality and Human Resource Development (VPGEHR)

36.7.2 Other Contacts

HR Management Section

36.8 Definitions

Authority:

- Approved by the President
- Labor Standard Act
- Labor Contract Act
- Act on Employment Security, etc. of the Elderly, etc.

Chapter 37. Leaving the University

37.1 Policy

Termination decisions must comply with internal and applicable legal requirements.

37.3 Rules

37.3.1 Termination

Details are described in Article 73 to Article 74 [Link:], Rules of Employment and Article 8.1[Link], Rules of Employment for Part-time Employees.

37.3.2 Retirement

Details are described in Article 75 [Link:], Rules of Employment. Rules for re-employment after retirement are determined in Article 76 [Link:], Rules of Employment.

37.3.3 Dismissal

Details are described in Article 77 to Article 79 [Link:], Rules of Employment and Article 8.2 [Link:], Rules of Employment for Part-time Employees.

37.3.4 Former Employees' Duty of Confidentiality

Details are described in Article 80 [Link:], Rules of Employment.

37.4 Responsibilities

37.4.1 Individuals terminating from the University

Employees must submit the necessary documents [link: http://hr.oist.jp/english/download/index.html] to the HR Management Section at least 1 month prior to the day they intend to resign. Individuals terminating from the University are responsible for returning all of University property including keys, identification cards, computers, software, phones to the responsible sections

or their immediate supervisors.

37.4.2 Supervisors

Supervisors must follow established procedures regarding terminations and review in advance with the HR Management Section and the Vice President for Gender Equality and Human Resource Development (VPGEHR).

37.4.3 HR Management Section

The HR Management Section is responsible for assuring that relevant laws and University rules regarding the termination of employees are observed.

37.5 Procedures

37.6 Forms

37.7 Contacts

37.7.1 Policy Owner:

Vice President for Gender Equality and Human Resource Development (VPGEHR)

37.7.2 Other Contacts

HR Management Section

37.8 Definitions

Authority

- Approved by the President
- Labor Standard Act

Chapter 38. Discipline

38.1 Policy

The OIST Graduate University sets expectations for employees on 1) time and attendance and 2) conduct. Employees are responsible for meeting these expectations, and their failure to do so will result in the University taking disciplinary action, up to and including dismissal.

The University recognizes that the purpose of discipline in most cases is to help employees improve time and attendance problems or other inappropriate behavior and actions. The University ordinarily follows a system of progressive discipline to correct problems. Employees who fail to correct a deficiency after progressive discipline may be dismissed.

Certain violations and infractions may be ruled sufficiently serious to suspend the normal progressive disciplinary process. Under these circumstances, any step in the disciplinary procedure may be used, including dismissal.

38.3 Rules

38.3.1 Issuing Disciplinary Action

When an employee fails to follow University standards, the University will take steps to correct the situation and prevent further occurrences. The appropriate discipline may vary depending on the seriousness of the offense, the circumstances under which it occurred, prior problems, duties of the employee, and overall work record with the University.

Details are described in Article 85 and 86 [Link:], Rules of Employment and Chapter 11 [Link:], Rules of Employment for Part-time Employees.

38.3.2 Dismissal after Progressive Discipline

If a problem occurs and the employee has already received 2 active formal disciplines, the employee may be dismissed.

Formal disciplinary action will cease to be active if no subsequent formal discipline is issued within 12-months of the date of issuance.

38.3.3 Dismissal without Prior Discipline

An employee may be dismissed without prior discipline and without notice or pay

in lieu of notice, when the reason for discipline is sufficiently serious and no extenuating circumstances exist.

38.4 Responsibilities

38.4.1 Supervisors

Supervisors must consult with the HR Management Section when they identify a discipline problem before taking actions. Normally, when the supervisor first identifies a discipline problem, the supervisor must privately counsel the employee, and outline the steps necessary to correct the problem. The supervisor will advise the employee that any further problem may result in further discipline.

38.4.2 HR Management Section

The HR Management Section is responsible for administering the disciplinary procedures.

38.5 Procedures

38.6 Forms

38.7 Contacts

38.7.1 Policy Owner

Vice President for Gender Equality and Human Resource Development (VPGEHR)

38.7.2 Other Contacts

HR Management Section

38.8 Definitions

Authority:

- Approved by the President
- Act on Securing, Etc. of Equal Opportunity and Treatment between Men and Women in Employment
- Act on Employment Promotion etc. of Persons with Disabilities
- Act for Securing the Proper Operation of Worker Dispatching Undertakings and Improved Working Conditions for Dispatched Workers

Chapter 39. Resolving Complaints & Disputes

39.1 Policy for Employees

The OIST Graduate University (University or OIST, as applicable) has procedures in place that provide employees with the following review processes for resolving complaints about inappropriate treatment or actions.

39.1.1 For disputes or allegations relating to Respectful Workplace Policy violations, every employee is entitled to use the external hotline to reach OIST-designated outside independent mediators who provide external consultation and reporting services. Alternatively, every employee can directly consult the Vice President for Gender Equality and Human Resource Development (VPGEHR) [link:39.4.3].

39.1.2 Cases where the main issue is academic, scientific, or research misconduct or non-compliance are managed by the Dean of Faculty Affairs and the Chief Operating Officer (COO) , in accordance with the procedures provided for in PRP 23.4.

39.1.3 Conflict of interest issues are managed by the COO in accordance with the procedures provided for in PRP 22.1.

39.1.4 For all other non-harassment disputes, every employee should discuss and attempt to solve disputes with the immediate supervisor or Unit, Section, or Division head. If the issue cannot be resolved within the Unit/Section/Division, the employee may contact the Vice President for Gender Equality and Human Resource Development (VPGEHR) for further steps for resolution, provided, however, that every employee should attempt to solve disputes in accordance with the procedures provided for in 39.6.1.

39.2 Policy for Students

OIST has procedures in place that provide students with systematic review processes for resolving both non-harassment and harassment issues. Students should discuss and attempt to resolve disputes with the Dean of the Graduate School.

39.3 The Ganjuu Wellbeing Service

For students and employees who need advice and counseling, the Ganjuu Wellbeing Service is available to all OIST community members. The Ganjuu Wellbeing Service offers consultation, advice, and intervention in relation to a range of problems including harassment and other behaviors inconsistent with the OIST Respectful Workplace Policy. Employees can visit Ganjuu Wellbeing Service during their working hours.

39.4 Anti-Harassment and Anti-Bullying Policy

The University is committed to creating and maintaining a safe and respectful environment in which all officers, employees, students, and visitors are treated with dignity and respect, in accordance with the Respectful Workplace Policy. The University will not tolerate disrespectful communication, discrimination, harassment, or bullying in any form.

> 39.4.1 The University will take all disputes and harassment complaints seriously and handle them in confidence. When a dispute or an act of harassment is established, the University will take remedial measures and appropriate corrective actions.
>
> 39.4.2 If an OIST officer, employee, student, or exchange visitor feels that he or she is a victim of, or has witnessed, a violation of the Respectful Workplace Policy, or feels that he or she is the victim of sexual, power, academic harassment, or other harassment, that individual should immediately consider taking action to inform the University of the situation.
>
> 39.4.3 To report such disputes or incidents of harassment, employees should contact either the confidential external Respectful Workplace and Anti-Harassment hotline (RWAH hotline) [link: 39.6.2.2] or the Vice President for Gender Equality and Human Resource Development (VPGEHR) [link: 39.6.2.3].

39.5 The University will not tolerate retaliatory action against any employee or student for making a good faith report of disputes or incidents of harassment based on 39.4.2 and 39.4.3 or 39.2. Similarly, the University will not tolerate any direct or indirect use (or attempted use) of official authority or official influence for the

purpose of interfering with the rights of a student or an employee making a protected disclosure.

39.6 Rules

39.6.1 Non-harassment Dispute Resolution Procedures

39.6.1.1 Eligibility. All University employees are eligible to seek informal and formal non-harassment dispute resolution.

39.6.1.2 Local Informal Problem Resolution

39.6.1.2.1 Employees/students and supervisors are expected to work effectively to resolve complaints and disputes on other than harassment issues at the lowest level as possible. An employee will first seek informal problem resolution with the supervisor. If the dispute specifically involved the supervisor, the employee will discuss the problem with the next level of management.

39.6.1.2.2 The supervisor and higher level manager must investigate the complaint and take steps to resolve the problem. A written response must be presented to the employee. If the employee believes the problem has not been resolved within the Unit/Section/Division, the next level of dispute resolution (HR Level Dispute Resolution) is available.

39.6.1.3 HR Level Dispute Resolution

39.6.1.3.1 An Employee who makes a claim (claimant) may contact the Vice President for Gender Equality and Human Resource Development (VPGEHR), who first determines within 5 working days if the claim is appropriately filed, and informs the
claimant if the claim should be resolved through the Misconduct (PRP 23) or Conflict-of-Interest (PRP 22) procedures.

39.6.1.3.1.1 A confidential email box has been set up to contact VPGEHR to make a claim: RWAH.HR@oist.jp. VPGEHR or a HR staff designated

by VPGEHR will contact the person within 2 working days.

39.6.1.3.2 Once it is determined that the complaint is appropriately filed, the VPGEHR must facilitate communication about the dispute between the claimant and the Unit/Section/Division. The VPGEHR and the Unit/Section/Division must investigate the problem and take steps to attempt to resolve the complaint.

39.6.1.3.3 A written response to the dispute must be given to the claimant by the VPGEHR within 15 working days from the date the dispute was filed, unless additional time is needed in which case the claimant must be informed of the expected date of response.

39.6.1.4 Committee Level Dispute Resolution

39.6.1.4.1 A problem that has not been resolved at the HR level may be brought to the Committee level. The request must be submitted in writing by the claimant to the VPGEHR for review by a Dispute Resolution Committee (DRC).

39.6.1.4.1.1 For each such case, the COO will establish a DRC consisting of at least 3 members, which may include external experts. The COO will appoint the chair.

39.6.1.4.2 The DRC must be formed and convened to review the dispute within 15 working days after receipt of the written request. If additional time is needed to convene the DRC, the 15 working days may be extended.

39.6.1.4.3 The DRC must conduct an impartial and confidential review to determine the facts and circumstances of the case, and make recommendations to resolve the matter. In principle, the DRC must make a recommendation within 20 working days from the date the DRC first convenes. If additional time is needed to complete the review, the period may be extended for additional 20 working days.

39.6.1.4.4 The DRC's report and the recommendation must be submitted to the COO. The COO is responsible to determine the final disposition of the case within 30 working days after receipt of the DRC's report and recommendation. If the COO needs additional time, the period may be extended for additional 30 working days.

39.6.1.4.5 The decision of the COO become final with concurrence of the President. Once the final decision has been implemented, the COO must notify the claimant that the case is closed. Due to privacy considerations, in some cases, the claimant may only be notified that the matter has been closed, without receiving any details of the outcome.

39.6.2 Harassment Resolution Procedures

39.6.2.1 Eligibility. All University employees are eligible to seek both informal and formal harassment issue resolution. An employee who makes a claim (claimant) should either seek informal resolution with the confidential external Respectful Workplace and Anti-Harassment hotline (RWAH hotline) [link:39.6.2.2] or directly consult the VPGEHR [link:39.6.2.3.2].

39.6.2.2 RWAH Hotline
The COO establishes the external Respectful Workplace and Anti-Harassment hotline.

The RWAH hotline provides a way to seek consultation or to make a complaint in Japanese or English that is confidential and separate from the University. The hotline is answered by experienced and trained professional mediators who can provide consultation, and if necessary report the matter to the University to seek a resolution of the situation. The claimant can choose which mediator to contact within the hotline.

Hotline in English: 050-5236-2375
Hotline in Japanese: 050-5236-2376

Since the mediators of the RWAH hotline may not immediately be available to answer the call, voice mail is provided, and they will call back, in general, within 2 working days of the call.

The mediators may also be contacted by email at oistmediators@yahoo.co.jp, which reaches the mediators exclusively.

Every effort will be made to protect the privacy of claimants using the RWAH hotline. Claimants can choose to be anonymous or can identify themselves.

While every effort will be made to keep the consultation process confidential to respect the claimant's desire to remain anonymous, this cannot be guaranteed under all circumstances. If the matter is sufficiently serious, the mediator may encourage the claimant to give his/her name and to allow the mediator to report to the COO or the VPGEHR [link:39.6.2.2.1 c]. In cases where the allegations involve bodily harm or other illegal action or present the imminent risk to the safety or health of the claimant or others at the University, the mediator may immediately inform the COO and the VPGEHR [link:39.6.2.2.1 d] even without the consent of the claimant.

39.6.2.2.1 Role of the mediators

The ways in which the mediators provide consultation to the claimant vary from case to case according to the situation. The basic process is as follows:

a. The mediators will listen to the complaint and discuss with the claimant how to resolve the problem.
b. The mediator may also mediate the situation depending on the circumstances. With the consent of the claimant, the mediator may contact the claimant's supervisor, the accused, the accused's supervisor, or the designated person/section/division, when the mediator considers such contact to be useful or effective in resolving the situation.
c. If the complaint contains serious allegations which are deemed to require the University to investigate and take remedial action, the mediator may urge the claimant to allow the mediator to report to the Provost, the COO or the VPGEHR.
d. In cases where the allegations involve bodily harm or other illegal action (such as an assault, sexual or otherwise) or present an imminent risk to the safety or health of the claimant or others at the University, the mediator may

immediately inform the COO and VPGEHR even without the consent of the claimant.

39.6.2.2.2 Follow-up with the claimant: The claimant will, in principle, be informed by the Mediator of the outcome in cases described in b, c, d above when and as appropriate. Due to privacy considerations, in some cases, the claimant may only be notified that the matter has been closed, without receiving any details of the outcome.

39.6.2.2.3. Allegations against the President or a Member of the Executive: In the case of allegations made against the President, regardless of the nature of the allegations, the mediators will report directly to the Chair of the Board of Governors of the University. In the case of allegations made against a Member of the Executive including Deans, regardless of the nature of the allegations, the mediators will report directly to the President.

39.6.2.2.4 Record Destruction: The mediators will routinely destroy their informal notes containing identifying information pertaining to claimants who contact the mediators and those involved in resolving matters brought to the mediators. The only records maintained permanently contain aggregate statistical trend information.

39.6.2.3 HR-Level Dispute Resolution

39.6.2.3.1 If an employee making a claim (claimant) believes that the complaint and dispute on harassment issues have not been resolved through the confidential External Hotline, the claimant may contact the Vice President for Gender Equality and Human Resources (VPGEHR). A claimant may directly contact VPGEHR without going through the External Hotline.

39.6.2.3.1.1 A confidential email box has been set up to contact VPGEHR to make a claim: [RWAH.HR@oist.jp]. VPGEHR or a HR staff designated by VPGEHR will contact the person within 2 working days.

39.6.2.3.2 The VPGEHR conducts an initial investigation and

attempts to resolve the complaint. This investigation is carried out informally and confidentially, and in close consultation with the claimant.

39.6.2.3.3. Issues that cannot be resolved through the informal process will be forwarded to a Harassment Investigative Committee (HIC), which will be established and convened by the VPGEHR within 15 working days after forwarding the issues, for resolution.

39.6.2.3.4 The HIC consists of 3 members, one of whom is designated as chair by the VPGEHR, and a legal counsel appointed by the General Counsel serving as an observer. An HR staff member provides secretarial support.

39.6.2.3.5 The HIC conducts an impartial and confidential investigation/ review to determine the facts and circumstances of the case, and make recommendations to resolve the matter. In principle, the HIC should prepare a written response to the VPGEHR within 20 working days from the date the HIC first convenes. If additional time is needed, the VPGEHR must be informed of the expected date of response.

39.6.2.3.6 A written response to the dispute must be given to the claimant by the VPGEHR within 10 working days from the date the HIC report was received by the VPGEHR unless additional time is needed, in which case the claimant must be informed of the expected date of response. Due to privacy considerations, in some cases, the claimant may only be notified that the matter has been closed, without receiving any details of the outcome.

39.6.2.3.7 Allegations against the President or a Member of the Executive: In the case of allegations made against the President, regardless of the nature of the allegations, the VPGEHR will report directly to the Chair of the Board of Governors of the University. In the case of allegations made against a Member of the Executive including Deans, regardless of the nature of the allegations, the VPGEHR will report directly to the President.

39.6.2.4 Executive Committee Level Harassment Dispute Resolution

39.6.2.4.1 A problem that has not been resolved at the HR level or GS level (PRP5.12.2.1) may be brought to the Executive Committee level. The request must be submitted, in writing, by the claimant to the VPGEHR or Dean of the Graduate School for review and investigation by a Harassment Dispute Resolution Committee (HRC).

39.6.2.4.1.1 The COO (in case of employees) or Provost (in case of graduate students) will appoint at least 3 members to a HRC for each case. The COO or Provost will appoint the HRC chair. The HRC members may include external experts.

39.6.2.4.2 The HRC must be formed and convened to review the dispute within 15 working days after receipt of the written request. If additional time is needed to convene the HRC, the time may be extended by 15 additional days.

39.6.2.4.3 The HRC must conduct a formal, confidential, impartial investigation/review to determine the facts and circumstances of the case. The HRC must make a recommendation within 20 working days from the date the HRC first convenes. If additional time is needed to complete the review, the time period may be extended for additional 20 working days.

39.6.2.4.4 The HRC's report and the recommendation must be submitted to the COO. The COO is responsible for the final disposition of the case within 40 working days after receipt of the HRC's report and the recommendation. If the COO needs additional time, the time period may be extended for additional 40 days.

39.6.2.4.5 The decision of the COO become final with concurrence of the President. Once the final decision has been implemented, the COO must notify in writing the claimant that the case is closed. Due to privacy considerations, in some

cases, the claimant may only be notified that the matter has been closed, without receiving any details of the outcome.

39.7 Responsibilities

39.7.1 Employees

Employees must attempt to solve disputes in accordance with the procedures provided in this chapter.

39.7.2 Supervisors and Managers

Supervisors and Managers must inform their subordinates about the availability of the mediators and the formal and informal complaint and dispute resolution procedures.

39.7.3 The Vice President for Gender Equality and Human Resource Development (VPGEHR), the President, the Provost, the COO, Dispute Resolution Committee (DRC), Harassment Investigative Committee (HIC), Harassment Dispute Resolution Committee (HRC), or their Representatives

The Vice President for Gender Equality and Human Resource Development (VPGEHR), the President, the Provost, the COO, the Dispute Resolution Committee (DRC), the Harassment Investigative Committee (HIC), the Harassment Dispute Resolution Committee(HRC) or their designated representatives, are responsible for performing the tasks and duties outlined for them in this chapter.

39.7.4 The Mediators of the RWAH hotline

RWAH hotline mediators are responsible for performing the tasks and duties outlined for them in this chapter.

39.8 Contacts

39.8.1 Policy Owner:

Vice President for Gender Equality and Human Resource Development (VPGEHR)

39.8.2 Other Contacts:

Mediators of the RWAH hotline
Employee Relation Specialist

39.9 Definitions

39.9.1 Employees
Employees, Fellows, External Researchers, and Personnel from Staff Agencies.

39.9.2 Bullying
Bullying is any ongoing antisocial or unreasonable actions that offends, degrades, intimidates, or humiliates a reasonable person, and has the potential to create a risk to health, safety, or wellbeing.

39.9.3 Harassment
Harassment involves continued antisocial or unreasonable actions that violate a reasonable person's personal rights and/or dignity and cause mental suffering, and thus worsen the person's work environment or make him/her anxious about employment. Specific examples of harassment include (but are not limited to) abusive supervision or other abuses of power in an organizational or academic setting, and are not limited to actions by supervisors.

39.9.4 Sexual Harassment
Sexual Harassment is harassment of a sexual nature, whether between individuals of the same or different sexes. The misuse of power in a manner that has sexual overtones is also considered as Sexual Harassment.

39.9.5 Academic Harassment
Academic Harassment is the misuse of power or authority by an employee, student, or faculty member towards another individuals in a research or educational setting.

39.9.6 Power Harassment
Power Harassment is the misuse of authority, status, or hierarchy by an employee or faculty member towards another individual, which offends, degrades, intimidates, or humiliates a reasonable person, and has the potential to create a risk to health, safety, or wellbeing.

Authority:

- Approved by the President
- Act on Securing, Etc. of Equal Opportunity and Treatment between Men and Women in Employment
- Act on Improvement, etc. of Employment Management for Part-Time Workers
- Industrial Safety and Health Act
- Public Document Management Act

Chapter 40. Staff Development and Awards

40.1 Policy

The OIST Graduate University recognizes that the success of the University depends on all employees, whatever their role, having the relevant skills, knowledge and competencies. The University is committed to providing employees with training opportunities in order to maintain and improve organizational effectiveness and efficiency, to ensure compliance with laws, regulations, and University policies, and to keep employees motivated.

40.2 General Considerations

40.2.1 Rationale

The work environment has become increasingly complex and requires continuous improvement in knowledge, competencies, and skills. At the same time, external factors, such as changes in laws and regulations, have an impact on OIST Graduate University policies and how work is done. These changes in job complexity or external environment require that all those employed at the University have access to training and a chance to improvement their abilities and gain a shared understanding of change affecting the University.

40.2.2 Non-discrimination

It is the policy of the University that no employee shall be denied opportunities to participate in training and development activities on the basis of race, color, religion, national origin, physical or mental disability, medical condition, marital status, gender, sexual orientation or age.

40.2.3 Statutory Requirements

There are areas where the University has a legal responsibility to conduct training for all or related employees, such as research safety and document and record management. The University will fully comply with the related laws and

regulations and ensure that appropriate training is provided.

40.3 Rules

40.3.1 Types of Training

40.3.1.1 New Employee Orientation

Primary responsibility for successful onboarding lies with the new employee's unit or division/section. Human Resources or other part of the University that provide orientation activities do so in support of the individual unit's or division/section's onboarding process.

40.3.1.1.1 Each newly hired employee is expected to attend an orientation session organized by the Human Resource training function.

New employee orientation is a joint effort between the Human Resource training function and the receiving Unit or Division/Section.

40.3.1.1.2 Orientations for newly hired employees will include general information about the University, an explanation of its Core Values [link: 1.3], Code of Conduct [link: 1.4], and Respectful Workplace Policy [link: 1.3.2], an introduction to the work area, to fellow employees and job duties, and instruction regarding the University's policies, rules, and procedures [link: http://www.oist.jp/ja/policy-library].

The immediate supervisor should provide continuing instruction and guidance to help the new employee adjust to his/her new work environment.

40.3.1.1.2.1 The Human Resource training function will provide guidelines to supervisors on steps and actions to take in order to facilitate new employee onboarding.

40.3.1.2 Training

40.3.1.2.1 All employees are eligible, with their immediate supervisor's approval, to attend the training workshops offered by the University and applicable to their personal [link: 40.8.5] or

professional [link: 40.8.4] training and development.

40.3.1.2.2 Frequently, educational training and development programs are offered during an employee's regularly scheduled working hours. To the extent that it is possible and practical, supervisors are encouraged to allow their staff to participate in relevant programs during those hours. The hours spent for attending such programs with the supervisor's approval are counted as working hours.

40.3.1.2.3 The University may instruct an employee to take specific or mandatory training [link: 40.8.3]. When such a requirement is imposed, the employee must take the training unless otherwise justified and the absence has been approved by leaders in his or her Unit or Division.

40.3.1.2.4 Analysis of ongoing training needs must be conducted for each employee by their Section, as well as by the Human Resource training function to validate existing training programs and identify any new requirements.

40.3.1.3 Training provided by other parts of the University

40.3.1.3.1 Due to the specificity of content of certain training programs, other parts of the University may provide training independent to that provided by the Human Resource training function. In other instances, the specific training is provided in concert with or implemented as part of a larger HR program.

40.3.1.3.2 In such cases, as much as possible, the Human Resource training function will provide advice, support, and assistance to that part of the University providing the training.

40.3.2 Awards

Details are described in Article 84 [Link:], Rules of Employment and Article 10.2 [Link:], Rules of Employment for Part-time Employees.

40.4 Responsibilities

40.4.1 Employees

Employees have primary responsibility for their own personal and professional development. Employees must develop their skills to enhance performance in their current position and to prepare them to assume further responsibilities. Employees are encouraged to use constructively the performance appraisal process and to engage in daily communication with their supervisor to advance staff development needs and opportunities.

40.4.2 Supervisors

The role of the supervisor in staff development is to be an advisor or consultant to an employee's development. Supervisors must provide employees under their supervision with opportunities to discuss their staff development needs. Supervisors should regularly review the development needs of their employees in order to enable them to respond effectively to internal and external changes. Whenever appropriate, supervisors should approve attendance at relevant staff development programs and release employees from their usual duties for such programs.

Supervisors should also inform the Human Resource training function if they identify training/development needs that may have organization-wide applicability and therefore should be added to the staff development programs. The Human Resource training function will work with Unit or Division/Section leaders as necessary to develop or access training specific to the needs of the requesting Unit or Division/Section.

40.4.3 Human Resources

Human Resources is responsible for general University training. That responsibility resides in the Human Resource training function. The Human Resources will be responsible for planning and implementing staff development programs to meet the shared needs of University employees, conducting training needs analysis and coordinating training and development programs among related Sections and Divisions.

40.4.3.1 To meet this requirement, the Human Resource training function will

- periodically conduct training needs and demand surveys.
- plan and implement general / specific training and development activities.
- coordinate training and development activities with and among Units or Divisions/Sections.

40.5 Procedures

40.5.1 Application

Employees can apply to a Human Resources provided University training or development course, workshop or seminar via the HR Training Web site [link:] or through the eFRONT Learning Management System [link:] if the course, workshop, or seminar is provided through that portal.

40.5.2 Approval

Participation in any training and development program either outside or internal to the University requires the prior approval of the employee's supervisor. This requirement is regardless of whether there are any direct costs such as training fees or not. Personal training taken outside of work time does not require this approval.

40.6 Forms

40.7 Contacts

40.7.1 Policy Owner:

Vice President for Gender Equality and Human Resource Development (VPGEHR)

40.7.2 Other Contacts:

HR Development Section

40.8 Definitions

40.8.1 Employee

Employee is defined as someone who has been directly hired by the University. They can be either permanent or on fixed-term contracts. Part-time employees who have been hired directly by the University are also considered employees eligible for training.

Those working at the University sent by a third-party vendor (派遣社員 in Japanese) are not considered employees. They are, however, subject to certain mandated training programs as designated by the University.

40.8.2 Supervisor

For this chapter, a supervisor is an employee with managerial or supervisorial responsibilities and duties over an organization or part of an organization with

employees who report to them. This definition includes faculty and officers of the University, and it covers supervisors who are permanent or on fixed-term contracts.

40.8.3 Mandatory Training

Mandatory Training is any training course, workshop, lecture, online training, video or audio training that is required by management for an employee to attend.
Mandatory training can be training required of all employees or training focused upon a specific group or an individual employee. Depending on the requirements of the University, mandatory training may also be required of those who work here or provide a service to the University who are not employees.

40.8.4 Professional Training & Development

Professional Training & Development is defined as learning activities engaged in by employees that directly maintain or improve the current levels of skills, knowledge, and competencies required to conduct current or future work requirements. Professional Training & Development can include both formal and structured learning activities and informal or ad hoc learning activities, either in a classroom or on the job.

40.8.5 Personal Training & Development

Personal Training & Development is defined as learning activities that do not necessarily maintain or enhance work related skills, knowledge, and competencies required to perform a current job. These are learning activities which can help employees to expand or develop themselves more fully as a person or member of society.

Authority:

- Approved by the President
- Labor Standard Act
- Industrial Accident Compensation Insurance Act
- Industrial Safety and Health Act

Chapter 41. Workplace Health and Safety

41.1 Policy

The OIST Graduate University is committed to providing a safe and healthy environment for its employees. The University offers training, programs, and medical services to promote the physical and mental health and well-being of its employees. Work areas in the University are required to be properly ventilated and appropriately lighted, and employees must be provided with ergonomically correct equipment, tools and furniture. In addition to taking safety training and complying with safety rules, employees are expected to be mindful of the need for a nutritious diet, for a good night's sleep, for daily exercise, and for periods of relaxation and recreation. The University's over-arching policies, rules, and procedures regarding general and job-specific safety training, employee health, research safety training, disaster preparedness and emergency response are set out in PRP Chapter 13 [link: 13].

The discussion in this Chapter is limited to health examination and compensation for employees who have a work-related injury or occupational illness covered by the Industrial Accident Compensation Insurance Act (Act No. 50 of 1947).

41.2 General Considerations

The University's Safety and Health Management Policy [link: http://rs.oist.jp/rules/docs/industrial-health-and-safety/safety_and_health_management_rules.pdf] complies with the Industrial Safety and Health Act (Act No. 57 of 1972). In addition, the University has developed its own requirements regarding employee safety and health; see Chapter 13 [link: 13]

In the event of a work-related injury or occupational illness, employees may be eligible for coverage of medical and other expenses by the Industrial Accident Compensation Insurance [link:41.3.2].

41.3 Rules

41.3.1 Health Examination

Details are described in Article 68 [Link:], Rules of Employment and Article 9.2

[Link:], Rules of Employment for Part-time Employees.

41.3.2 Worker's Accident Compensation

Details are described in Article 88 [Link:], Rules of Employment and Article 9.3 [Link:], Rules of Employment for Part-time Employees.

41.3.2.1 Notwithstanding the rules governing compensation during absence [link: 34.3.6.7], an employee who is absent from work due to injury or illness from an accident while at work or commuting as stipulated under the Industrial Accident Compensation Act will be paid 100 percent of their daily salary by the University for the first 3 days of the period that the employee is absent from work.

After the first 3 days, when compensation under the Industrial Accident Compensation Insurance (Insurance) is less than the amount calculated by the formula below, the University will pay the difference after the amount of the Insurance payment has been confirmed.

Formula: Daily Salary [link: 34.3.6.5] multiplied by [the number of subsequent days the employee is not able to work]

41.3.2.2 Full-time officers are covered by the accident compensation insurance that the University has arranged. The compensation comprises:

- Survivor's compensation benefits,
- Residual disabilities benefits,
- Hospitalization benefits,
- Surgery benefits, and
- Outpatient benefits.

41.4 Responsibilities

41.4.1 Employees

Employees are responsible for complying with all laws, regulations, and University requirements related to workplace health and safety and using their best efforts at all times to prevent workplace accidents.

41.4.2 The HR Management Section

The HR Management Section is responsible for administering the accident compensation policy for employees and officers accurately.

41.4.3 The Health Center

The Health Center is responsible for implementing health examination for

employees.

41.4.4. The University

The University, as an employer, is responsible for taking necessary measures to create a safe and healthy workplace environment and to improve the safety and health of its employees, pursuant to all related laws and regulations (See Chapter 13 [link: 13]).

41.5 Procedures

41.6 Forms

41.7 Contacts

41.7.1 Policy Owner:

Vice President for Gender Equality and Human Resource Development (VPGEHR)

41.7.2 Other Contacts:

HR Management Section
Health Center

41.8 Definitions