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

Group Leaders belong to a Research Unit and manage and/or supervise a research team under the overall guidance of the Faculty. These positions are for research scientists who have significant research management or supervisory experience. A Group Leader I will have more than 10 years of post-Ph.D. research experience and at least 2 years of research management or supervisory experience. A Group Leader II will have more than 15 years of post-Ph.D. research experience and at least 3 years of significant research management or supervisory experience. 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

Research Specialists are exceptional individuals who belong to a Research Unit and have special skills that require special recognition. They may have considerable experience beyond a Ph.D. (usually >10 yrs.) or may have different qualifications (e.g. a Clinical qualification). 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**

Staff Scientists belong to a Research Unit. These positions are for research scientists who have completed their postdoctoral training and who work in a research unit. These appointments can either be “Fixed-term” or “Continuing.” Fixed-term Staff Scientist 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.

All Staff Scientist positions ordinarily require a Ph.D. or its equivalent in research skills and subject knowledge in the relevant scientific discipline. Each level requires increasing professional achievements. Staff Scientist I appointees will normally have more than 5 years of postdoctoral research experience and are expected to demonstrate the capability to conduct independent research. Staff Scientist II appointees will normally have more than 10 years of postdoctoral experience and are expected to take full responsibility for projects and have an established record of independent achievement. Staff Scientist III appointees are expected to have more than 15 years of postdoctoral experience and to have achieved leadership recognition internationally for their original research and service in the field.

The fundamental definition of a Staff Scientist at the University is as follows:

a) The appointment involves full-time research and scholarship
b) The appointee works under the supervision of a faculty member
c) The appointee is expected to publish the results of their research
d) The appointee may be involved with the pre-thesis and thesis work of students working in the Research Unit of their supervising Professor.

Staff Scientists do not receive independent resources, although they are capable of working independently and have sophisticated skills and knowledge essential to the research. Staff Scientists should be capable of designing experiments independently but do not have the responsibility of initiating new research programs. Staff Scientists may serve as principal investigators on externally funded research that normally does not include additional staff appointments.

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**

A Postdoctoral Scholar is an individual who belong to a Research Unit, recently graduated with a doctoral degree, and is engaged in a temporary period of mentored research and scholarly training for the purpose of acquiring the professional skills needed to pursue an independent research career of their own choosing. The Faculty has a high level of responsibility when employing Postdoctoral Scholars, and therefore training and development for their career is a primary objective. Postdoctoral Scholars are essential to the scholarly mission of the faculty member, their research unit and the University, so it is important that these scholars be mentored to pursue research projects that promote their own scholarship. To that end, the Postdoctoral Scholars are expected to participate in determining their own research project(s) and will have the freedom to publish the results of their scholarship at the University.

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 fundamental definition of a Postdoctoral Scholar at the University is as follows:

a) The appointee has been awarded a Ph.D. or equivalent doctorate (e.g., D.Sc., M.D.) in an appropriate field within the past 5 years (circumstances like childbirth or illness could warrant an exception).
b) The appointment is “Fixed-term” without renewal, which means that it is a temporary appointment normally for 3 years and cannot exceed 5 years.
c) The appointment involves full-time research and scholarship.
d) The appointment is viewed as preparatory for an independent, full-time academic or research career.
e) The appointee works under the supervision of a faculty member.
f) The appointee is expected, possibly with support, to publish the results of their research during the training period.
g) The appointee may be involved with the pre-thesis and thesis work of students working in the Research Unit of their supervising Professor.

Guidelines for advertising positions, appointment benefits, and other essential elements for Postdoctoral Scholars will be provided to the Faculty by the Dean of Faculty Affairs.

4.2.6 **Research Unit Technicians**

Research Unit Technicians belong to a Research Unit. They report to the Unit head (Faculty) and provide technical assistance for the research programs of the Research Unit, while having instructions directly from the Unit head or from the Researchers of the Unit.

These positions are for individuals with the technical or engineering expertise required to conduct research programs in the Research Unit. Initial 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.

Research Unit Technician Ⅰ will normally be a new recently graduate or technical experienced person within five years and are expected to ensure the technical or engineering support for research equipment and the experiments.

Research Unit Technician II will normally have more than 5 years professional technical support experience or PhD degree and are expected to contribute actively to technical or engineering support in research unit using their advanced knowledge, skills and expertise.

Research Unit Technician III will normally have more than 10 years highly professional technical support experience or more than 5 years technical support experience after a completion of a doctoral program and are expected to contribute actively to technical or engineering support in research unit using their highly advanced knowledge, skills and expertise.

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

Research Support Leaders report to the Dean of Research and leads a technical support section of the Research Support Division. They must have a Ph.D. or equivalent skills, knowledge and experience in a field of science or engineering directly relevant to the technical support section as well as an excellent management skills required for planning and operation of research support. They must maintain their knowledge and skills by undertaking appropriate training.
As a section leader, they are;

a) responsible for maintaining the assigned research resources and also for the operation of the research support services.
b) required to manage, provide guidance and training to Research Support Specialists, Research Support Technicians and Administrative staff of the section.
c) able to understand the technical challenges of users and provide a solution that meets

the needs of users by introducing most advanced research techniques, including organizing the prioritization of new equipment within the section.
d) responsible for planning the future of the technical support section, preparing for and leading international peer review of the section performance and plans.

Research Support Leaders will normally have 10 years or more of equivalent research and/or research support experience after a completion of doctoral program and at least 3 years of managerial experience.

4.3.2 **Research Support Specialists**

Research Support Specialists reports to the Research Support Leaders and provides research support to the users of the responsible technologies and equipment. They must have a Master's degree or Ph.D. in a field of science or engineering directly relevant to the assigned resources and provide research support with a high level of technical knowledge and experience. They must maintain their knowledge and skills by undertaking appropriate training.
As a specialist they are;

a) required to maintain the assigned facility and equipment in excellent condition.
b) required to understand the technical challenges of users and provide appropriate technical support including consultation, training, data acquisition and data analysis.
c) able to provide guidance to Research Support Technicians.

Research Support Specialist Ⅰ will normally have 5 years or more of equivalent research and/or research support experience after a completion of Master's or doctoral program. Research Support Specialist Ⅱ will normally have 10 years or more of equivalent research and/or research support experience after a completion of doctoral program. Research Support Specialist Ⅱ also needs to have expertise to be able to provide higher level scientific support, including consultation on advanced experimental designs, techniques, and analytical methods than Research Support Specialist Ⅰ. They are also required to have ability to work as a team leader for part of the section resources.

4.3.3 **Research Support Technicians**

Research Support Technicians reports to the Research Support Leaders and provides research support to the users of the responsible technologies and equipment. They must have a master's degree or Ph.D. or equivalent skills, or training in a field of science or engineering directly relevant to the assigned resources. They must maintain their knowledge and skills by undertaking appropriate training.
As a technician, they are;

a) required to maintain assigned equipment in excellent condition,
b) required to provide technical support including training and data acquisition, under instructions from the other senior member of the section if necessary.

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 FellowsTreatment 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 Management 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.

Members of the STG, called the Science and Technology Associates, are scientists, engineers, and other staff who have advanced education and/or training and highly developed technical skills. The STG provides a career path for its members. There are three appointment levels: Science and Technology Associate (STA) I, II and III. A Science and Technology Associate is normally expected to conduct their own research and is allocated resources. They may also be able to apply for external grants as a Principal Investigator, or they may be affiliated with a research unit. Appointments and the assignment of resources are made by the President and are initially for up to 5 years. Appointment Renewal is based on expert peer review. The appointment and renewal criteria are as follows:

a) Demonstrated excellence in a relevant area of research in a scientific, technical, educational, or cultural field.
b) Demonstration of effective utilization of research resources.
c) Contribution to the development of external partnerships with academic institutions, industry, or other local institutions.

4.6.1 Science and Technology Associates

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. STA I is a post for junior researchers. STA II appointee normally will have more than 10 years of experience, is expected to assume complete responsibility for projects, and is expected to have an established record of independent achievement. STA III appointee is expected to have more than 15 years of experience and to have achieved international leadership recognition for their original research and service in the field.

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

4.7.1 Visiting Researchers

4.7.2 Visiting Fellows

4.7.3 Collaborating Researchers

4.7.4 Research Consultants

4.7.5 Guest Researcher

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 Research 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**

4.10.3 **Committee for the Promotion of Proper Research Conduct**
In order to develop and promote a misconduct prevention plan to deal with the factors that may cause misconduct is a University-wide effort, for which it has established a

Committee for the Promotion of Proper Research Conduct. The composition of the Committee and other necessary matters are set forth in separate documents [link: TBP]. The committee for the Promotion of Proper Research Conduct promotes the responsible conduct of research at OIST. Furthermore, in cooperation with VPAC and Compliance Section, the committee seeks to prevent misconduct.

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

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