FY2018 Institutional Evaluation and Accreditation (Universities)

Self-Inspection and Evaluation Report

[Japan Institution for Higher Education Evaluation (JIHEE)]

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Okinawa Institute of Science and Technology Graduate University

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1. Founding Principles, Ideals and Guiding Principles of the University

Today's science and technology is making rapid progress to remain technologically competitive in the global market at the forefront of this progress, every nation must improve its national educational and research systems. There is a growing need in Japan for a larger pool of people who are highly educated in science and technology. Such people will drive the national research effort to success and open up new fields in research and in industry. To address this need, OIST develops the full potential of its graduate students and researchers toward scientific excellence and independence.

The world-leading research groups in science and technology have an international composition. Students undertaking higher education in science and technology should experience education and research in an international environment. To gain this experience they need to interact with research leaders from other countries. There is, therefore, significance for Japan to attract excellent researchers from overseas to participate as faculty in graduate education. There is also a strong need to prepare for the environment to collaborate with other countries by inviting excellent international students to Japan, and conversely, visiting other countries from Japan for doctoral graduates.

English is the recognized language of science and technology. It is the international language used by scientists and engineers from all countries for communication and for publication. The ability to communicate effectively in English is vital for researchers who will play important roles on the world stage. There is a need for a greater number of English-speaking high-level scientists in Japan, and for more Japanese doctoral graduates to spend time overseas in postdoctoral training. Competency in English for scientific purposes is highly important to promote greater international mobility and collaboration for Japanese doctoral graduates.

Many of the rapidly emerging areas of science and technology are interdisciplinary. People are needed to cut across the artificial barriers created between fields of research in the past and lead the development of these emerging areas. Cultivating such talents requires greater exposure to different fields than graduate universities organized along traditional discipline lines can normally provide. An interdisciplinary program is important to provide a scientific education that is broad as well as deep. The Okinawa Institute of Science and Technology Graduate University (hereinafter referred to as “OIST”) systematically encourages interdisciplinary education and research and nurtures such environment.

It is not easy for established universities, especially those with undergraduate programs, to meet the needs described above. There are several reasons for this, as follows:

To attract the best in the world faculty members, research staff, and students, it is essential to establish an international community and attractive conditions for international faculty, staff, and students. It is difficult to achieve this within traditional universities with already established culture and administrative systems, as they currently do not have a large proportion of foreign faculty members, researchers, or students.

The use of English as the official language of OIST makes it easier for top-level scientists and students from any country to work and study.

It is therefore critical to Japan's international research success that a graduate university be established in science and technology in which the language of instruction is English. It is also important to establish English as the communication tool of daily informal interaction among students and staff, because such interactions in English play a significant role in the process of scientific thought and discovery. The use of English in both formal and informal interaction is needed to increase the competency in English for scientific purposes of Japanese students. Competence in English will also widen the future career opportunities for the graduates.

Departmental structures create artificial boundaries that reduce collaboration and impede interdisciplinary research and teaching. It is difficult to dismantle such boundaries after they have been established. Departmental boundaries are reflected in the physical buildings, governance structures, and curriculum. To create a truly interdisciplinary program, it is necessary to incorporate the interdisciplinary approach into the construction of the buildings and academic committees, as well as course designs. It is also necessary to recruit researchers who are able to work across the traditional boundaries between fields.

OIST concentrates on research and graduate education in selected fields without needing to be a large comprehensive university with undergraduate students. This allows OIST to more effectively conduct integrative and innovative research and provide outstanding doctorate education.

The following five central concepts are the guiding principles of OIST:

- Best in the world
- International environment
- Flexibility
- Global networking
- Collaboration with industry

The most important of these is to be the "best in the world". OIST will be a leading center for education and research that addresses new challenges in science and technology. To be the "best in the world", OIST requires a culture where creativity, uniqueness, and diversity are encouraged. It applies these values when recruiting new faculty and when selecting students for admission.

OIST nurtures a fully "international" environment in terms of its faculty and staff, students, the institutional culture, the code of conduct, and the language of teaching and research. English is the official language of instruction and operation, and the students write their doctoral thesis in English. More than half of the faculty members and students are non-Japanese. Exposure of Japanese and non-Japanese students alike to such a diverse and distinctive environment fosters a uniquely open and innovative way of looking at science.

We aim to develop in our students the competency in English for scientific purposes and the ability to present and discuss their scientific work in English by encouraging active participation in classroom and laboratory discussions. This ability helps them to present scientific papers at international meetings. It increases opportunities for "international"

collaboration, allows more extensive and faster access to the scientific literature, and increases the frequency of submission leading to the international visibility of their work.

To be “flexible” means to encourage innovation and creativity in research, to accommodate new initiatives, and to treat every student as a unique individual by respecting their individuality. Students are encouraged to develop their own original ideas, but also to modify their ideas flexibly in light of new evidence. Students are encouraged to become independent thinkers, which is necessary to facilitate the full realization of their scientific potential.

The ability to think flexibly is enhanced by exposure to the different approaches taken by different disciplines. The ability to reason scientifically is enhanced by courses that offer many opportunities for students to engage in logical discourse and scientific debate with instructors and peers. Such interaction can improve student conceptual understanding and increase the capability for scientific reasoning

To be a truly world-class research center, a graduate university of the projected size of OIST must concentrate its resources and efforts on selected areas while still offering comprehensive education across the necessary range of disciplines needed for the students. Such seemingly conflicting requirements for interdisciplinary graduate education demand a flexible approach.

OIST provides outstanding research training based on the following core disciplines:

- Neuroscience
- Molecular, Cellular, and Developmental Biology
- Mathematical and Computational Sciences
- Environmental and Ecological Sciences
- Physics and Chemistry

“Global networking” is essential to increase OIST’s visibility and reputation. OIST is located in Okinawa, which flourished by marine trading ranging from China to Southeast Asia from 15th century to early 16th century. Echoing “Bankoku Shinryo <a bridge between nations>” carved on the bell at the Shuri Castle in Okinawa’s Ryukyu Kingdom era, OIST endeavors to establish a global network, recruit and educate excellent scientists without regard to nation or culture, and send them throughout the world. The global networking is important for attracting the best faculty and the best students internationally. It is also a way to facilitate sending its graduates throughout the world through connections with excellent universities and research institutes worldwide.

“Collaboration with industry” is a broader aim that is involved in the outcomes of the research undertaken at OIST. Advances in science and technology can be applied to the sustainable development of Okinawa, to the competitiveness of Japan in science and technology internationally, and to the benefit of society in general. Students are encouraged to be aware of the importance of research outcomes to society.

In order to realize these objectives, the Japanese government announced the project to establish an international science and technology graduate university in Okinawa in 2001, and following preparation activities by the Okinawa Institute for Science and Technology Promotion Corporation, the Okinawa Institute of Science and Technology School Corporation Act (hereinafter referred to as the “OIST SC Act”) was enacted in 2009 to establish OIST.

2. Mission and Objectives

OIST's objectives are clearly stipulated in Article 1 and 2 in the OIST SC Act as follows:

"To promote internationally distinguished research and education on science and technology based in Okinawa, and thus contribute to the promotion and self-sustaining development of Okinawa and to the development of science and technology worldwide."

Based on OIST SC Act, the Okinawa Institute of Science and Technology School Corporation Bylaws (hereinafter referred to as the "Bylaws") also specifies in Article 3 that OIST is established for the purpose of conducting internationally distinguished education and research in the field of science and technology.

OIST aspires to become one of the world's premier research universities within its first decade of operations. Its mandate is to achieve excellence in research and science education so as to meet global challenges for which science and technology can provide solutions. It further aspires to be a catalyst for the economic revitalization of Okinawa and all of Japan.

To live up to its ideals, OIST must develop young scientists not only intellectually, but also socially and ethically.

If OIST is to fulfill its mandate to achieve the zenith of research and graduate education, it must earn and maintain the public trust, and its productivity must be as exceptional as its generous funding. Each phase in its growth and development must be executed without losing sight of its ideals for the sake of short-term expediencies.

3. Unique Characteristics and Distinctive Quality of the Gradate University

OIST is very unique in the way it was established as well as its educational policies and organizational systems. Particularly, the following characteristics are distinctive compared to other universities in Japan.

(1) A special private university established as a national project based on an act

OIST is a private university established in order to realize the ideals and guiding principles described in above 1. OIST is also a special corporation established as a national project based on a special act. For example, the Act on Subsidies for Private Schools stipulates that the Japanese government may subsidize a private university for not more than one-half of the expenses required for the university's education or research, but this "one-half" limitation is not applied to OIST under the OIST SC Act. In fact, OIST is funded for more than 95% by the Japanese government.

(2) Promote interdisciplinarity

There is a single educational program (major) allowing interdisciplinary research. A major advantage of OIST is that it can develop an interdisciplinary program without traditional departmental boundaries, in part because it was created without an undergraduate program. Increasingly, the challenges facing the world are interdisciplinary in nature and require a new kind of approach to tackle them. Few centers for such integrative research and education have been established so far in and outside Japan, though demand for graduates who can operate effectively in this new mode of thinking is growing.

To achieve these aspirations, OIST supports both basic and applied research in fields ranging from physics and chemistry to genomics, cell biology, neurobiology, and ecology. The level of excellence that OIST expects to attain can only be accomplished by interdisciplinary and collaborative approaches. To facilitate such efforts, OIST intersperses research units without regard to scientific specialty. Faculty members and other research personnel are expected to collaborate among themselves and with counterparts throughout the world, to contribute to the advancement of science and technology globally.

Likewise, OIST graduate students spend one of three compulsory Research Rotations in fields other than those in which they desire to work, hopefully enabling them to cross disciplines and to solve complex problems more readily than students trained more narrowly in traditional departments.

Its exceptional facilities notwithstanding, OIST recognizes that its human capital is its most valuable resource. OIST embraces all cultures, giving capable scientists the same opportunities to succeed without regard to social demographics.

(3) A single graduate school and single major in science and technology

OIST has a single graduate school and a single major to encourage integrative, interdisciplinary research and education. These are named the "Graduate School of Science and Technology" and "Major of Science and Technology" because the subject of research and education of the Graduate University broadly is science and technology. All faculties belong to this school, regardless of their research specialty. The doctoral degree is "Ph.D. (Doctor of Philosophy)" in English, and "*Hakase* (*gakujyutu*)" in Japanese as it is an appropriate name for a degree granted for interdisciplinary research.

(4) A university offering only 5-year Ph.D. program

The students are accepted directly, without going through a Master's program, into an integrated doctoral program leading to a postdoctoral career path in leading research institutes and universities.

The doctoral program has a standard enrollment period of five years, and follows a course-based study system. A three-term per year system is used. Students undertake rotations in three different laboratories (research units) in their first year, designed to prepare the students for their doctoral thesis work in a flexible way. At the same time, they take basic and advanced courses.

In the second year, in parallel with taking lecture and laboratory courses, the students choose a laboratory to undertake thesis research, and write and submit a Thesis Proposal. In the third year, after passing review of the research proposal, the students enter into a three-year period of thesis research, which concludes in the fifth year with examination of the thesis.

Students entering the program directly from undergraduate studies normally take about five years to complete their course of study. Those with a Master's degree in the area

they intend to obtain a Ph.D. can finish in three years. Students entering with a relevant Honors degree or a Master's degree in another area can finish in four years.

(5) Admission in September

Although located in Japan, OIST is truly international. The academic year begins in September, education and research are conducted in English, and more than half of the researchers and students come from outside of Japan. Students are encouraged to develop professional skills, travel internationally to keep abreast of new developments, disseminate their research findings, and tap into the extensive networks of the international OIST faculty members. These qualities will develop future career opportunities in leading research institutes and universities worldwide.

(6) Curriculum design for each student

In accord with the overall aim of developing the full potential of each student toward scientific excellence and independence, every student is treated as a unique individual, and their program of studies is tailored to their scientific aspirations, prior education, and current interests. A systematic curriculum design for each student is achieved by matching their program of study to their unique and specific needs and research aspirations.

The program is designed also to facilitate independent, flexible and original scientific thinking, and to maximize research opportunities and time spent in direct research activities.

With appropriate guidance from an Academic Mentor appointed to each student, students prepare an individualized course plan optimally combining lecture, laboratory coursework, and Research Rotations necessary to prepare them to undertake their thesis research. The absence of departments or separate educational programs allows the student to bring together expertise and knowledge across a broad range of disciplines and thereby to conduct truly interdisciplinary research.

II. History and Current State

The project towards the establishment of OIST began in June 2001 when Mr. Koji Omi, the then-Minister of State for Okinawa and Northern Territories Affairs and Science and Technology Policy, the Cabinet Office, announced the plan of establishing a new graduate university in Okinawa. In May 2002, then-Prime Minister Koizumi announced the government's commitment to the project at the 30th Anniversary of the Reversion of Okinawa. The project (the Proposed Framework of the Okinawa Institute of Science and Technology Graduate University) was placed as a pillar of Okinawa promotion policies in the Okinawa Promotion Plan formulated in July 2002.

Thus, the Okinawa Institute of Science and Technology Promotion Corporation (President: Dr. Sydney Brenner) was established in September 2005, based on the consensus of ministers concerned in the project (Minister of State, Chief Cabinet Secretary; Minister of State for Okinawa and Northern Territories Affairs, the Cabinet Office; Minister of State for Science and Technology Policy, the Cabinet Office; Minister of Finance; and Minister of Education, Culture, Sports, Science and Technology), which was achieved in December 2004, and the Diet's approval of the Independent Administrative Institution, the Okinawa Institute of Science and Technology Promotion Corporation Act in March 2005.

The OIST PC gathered distinguished scientists from in and out of Japan as the Board of Governors mainly comprised of Nobel Prize laureates. The first Board of Governors meeting was held in January 2006, and started to discuss the concrete plans for the project. In July 2008, the Board of Governors created the Blueprint that summarized the basic concepts of and provided a framework for the new graduate university.

The OIST S. C. Act was submitted to the Diet in March 2009 and enacted on July 10, 2009. This legal foundation accelerated the preparation activities for the establishment of the Graduate University, with the clear objective of inauguration in 2012.

Accreditation by the Minister of Education, Culture, Sports, Science and Technology followed in October 2011, and the Okinawa Institute of Science and Technology School Corporation was established in November 2011. By September 2012, OIST Ph.D. program opened to welcome the first class of graduate students.

In July 2014, barely a decade after the aforementioned Proposed Framework was formulated, the Okinawa Institute of Science and Technology Graduate University Framework Document II (hereinafter referred to as the "Framework Document II") was created to review the progress made since the publication of the first Framework Document, take stock of the current state of OIST, and anticipate its continued growth and development.

To assess whether OIST, which began in 2011, has established, with high quality, all the facets needed to achieve its primary goals, which are to become a world-class education and research university capable also of generating sustainable development for Okinawa, Vice Chair Dr. Akito Arima, proposed an external review of OIST at the Board of Governor meeting in October 2014. Distinguished international experts subsequently conducted the Review at OIST in July 2015.

Following the successful External Peer Review, the Japanese Government released funds for expansion of OIST, including budgets for construction of a new laboratory building

(Laboratory 4), the hiring of new staff to double the present faculty size from 50 to 100 over a ten year's period, and an expansion of the number of students.

1. History of the Graduate School

2001

June	The Japanese government announced a plan to establish the Okinawa Institute of Science and Technology Graduate University.
August	The first meeting of the study committee took place (chaired by Dr. Akito Arima, former President of the University of Tokyo). (8 meetings took place in total)

2002

April	The first meeting of the International Advisory Committee was held in Los Angeles. The participants from overseas included nine prominent scientists, three of whom were Nobel Laureates. (3 committee meetings took place in total)
May	On the occasion of the 30th Anniversary of the Reversion of Okinawa, Then Prime Minister Junichiro Koizumi announced that the government will promote the project to establish the Okinawa Institute of Science and Technology Graduate University.
July	The project was placed as a main pillar of Okinawa promotion policies in the Okinawa Promotion Plan.

2003

January	Then Prime Minister Junichiro Koizumi re-stated in his policy speech to the 156 session of the Diet that the Japanese government will promote the project.
April	The site in Onna Village was selected as a venue for the campus.
July	Based on the decisions made in the International Advisory Committee, the first meeting of the Council (chaired by Jerome Friedman, MIT Professor) took place in Tokyo.
October	The first international symposium took place at Bankoku Shinryokan in Okinawa as a preceding project to the project.
December	Ministers agreed that the venue for the campus shall be Onna Village, and the objective of the Graduate University shall be "to conduct world-class research and education in science and technology. By this means, the Graduate University aims to contribute to the advancement of science and technology in Okinawa, as well as to establish independent economy and sustainable development of Okinawa."

2004

February	Four proposals for the Initial Research Project (IRP) were selected as preliminary research projects for the graduate university.
March	The first international workshop took place in Okinawa as a preceding project of the project.

December	Ministers agreed to establish a new research institute in September 2005, as an organization leading up to the new graduate university.

2005

March	The bill to establish Okinawa Institute of Science and Technology Promotion Corporation as the organization to prepare the graduate university was approved by the Diet.
August	Dr. Sydney Brenner was designated as the first President of Okinawa Institute of Science and Technology Promotion Corporation.
September	Okinawa Institute of Science and Technology Promotion Corporation (OIST PC) received legal status of an Independent Administrative Institution.
December	Ministers agreed that the preparatory efforts by OIST PC was funded in order to establish Okinawa Institute of Science and Technology Graduate University in seven years.

2006

January	The first BOG meeting since the establishment of OIST PC took place in San Francisco.
April	The headquarter moved to the Seaside House, the first facility completed in Onna Village.

2007

March	The first phase of the site preparation works commenced.

2008

March	Construction of Laboratory 1 and the Center Building commenced.
July	The Blueprint for the Okinawa Institute of Science and Technology Graduate University was approved in an OIST PC BOG meeting.
November	Completion of Seaside Faculty Housing.
December	Ministers reached consensus about the organization to establish the graduate university (the graduate university shall be established by a school corporation, and necessary efforts will be given to the governing system). An objective was set to inaugurate the graduate university in 2012.

2009

March	The OIST SC Bill was submitted to the Diet.
June 11	The House of Representatives unanimously passed the Bill.
July 3	The House of Councilors unanimously passed the Bill.
July 10	The OIST SC Act was enacted.
October	The first meeting of the Establishing Members for the OIST SC took place in

	Tokyo.

2010

March	The use of Laboratory 1 and the Center Building commenced.
July	The Establishing Members for the OIST SC announced that Prof. Jonathan Dorfan had been selected as the first President of the new graduate university.

2011

March	Application for approval of the OIST SC to the Minister of Education, Culture, Sports, Science and Technology was submitted. Application for approval of the OIST Graduate University to the Minister of Education, Culture, Sports, Science and Technology was submitted
November	OIST SC inaugurated.

2012

February	The Auditorium completed.
June	Laboratory 2 completed.
September	OIST Graduate Program commenced, the first class of 34 students was admitted (39 faculty members, 46 courses).
November	Their majesties the Emperor and the Empress of Japan visited OIST.

2013

August	Construction of Laboratory 3 and the Child Development Center commenced.
September	The second class of 20 students admitted (38 faculty members, 53 courses)

2014

August	Completion of the Child Development Center.
September	The third class of 27 students was admitted (42 faculty members, 57 courses)

2015

May	Laboratory 3 completed.
September	The forth class of 24 students was admitted (46 faculty members, 56 courses)

2016

September	The fifth class of 35 students were admitted (44 faculty members, 54 courses)
December	Engineering Support Building completed.

2017

January	Dr. Peter Gruss Succeeds Dr. Jonathan Dorfan as President of OIST Graduate University

September The sixth class of 37 students was admitted (60 faculty members, 61 courses)

2018

February Commencement Ceremony: 14 graduates

2. Current State of OIST

・Name	Okinawa Institute of Science and Technology Graduate University
・Address	1919-1 Tancha, Onna-son, Kunigami-gun Okinawa, Japan 904-0495
・Graduate School Organization	the Graduate School of Science and Technology, the Major of Science and Technology (Ph.D. program)

・152 students, 58 faculty members, 248 researchers, 512 administrative staff members
(As of May 1, 2018)

III. Self-Evaluation Based on the Standards Set Forth by JIHEE (JIHEE: Japan Institution for Higher Education Evaluation)

Standard 1. Mission and Goals, etc.

1-1 Defining the mission, goals, and educational objectives
<<Perspectives for 1-1>>
1-1-(1) Specific and clearly defined contents
1-1-(2) Simple documentation
1-1-(3) Clear indication of individuality and distinctive qualities
1-1-(4) Response to changes

(1) Self-evaluation for 1-1

"OIST satisfies the Points Evaluated 1-1"

(2) Justification for self-evaluation for 1-1 (Fact-providing grounds for self-evaluation)
1-1-(1) Specific and clearly defined contents
1-1-(2) Simple documentation
1-1-(3) Clear indication of individuality and distinctive qualities
1-1-(4) Response to changes

OIST's mission is specifically and clearly stipulated as "to promote internationally distinguished research and education on science and technology based in Okinawa, and thus contribute to the promotion and self-sustaining development of Okinawa and to the development of science and technology worldwide" in Article 1 of the OIST SC Act and in Article 1 of the Okinawa Institute of Science and Technology Graduate University University Rules (hereinafter referred to as the "University Rules"). [Document 1-1-1] [Document 1-1-2]

The Framework Document II, the defining document for the governance and operation of OIST, also states in Chapter 1 that "the Okinawa Institute of Science and Technology Graduate University (OIST) aspires to become one of the world's premier research universities within its first decade of operations. OIST's mandate is to achieve excellence in research and science education so as to meet global challenges for which science and technology can provide solutions. It further aspires to be a catalyst for the economic renaissance of Okinawa and all of Japan." [Document 1-1-3]

Principles and processes for getting things done at OIST are set out in chapter form in the Library of Policies, Rules & Procedures (hereinafter referred to as "PRP"). In Chapter 1, "Who We Are: Founding and Governing Principles", PRP states OIST's educational and research objectives in a simple and clear sentence: "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." [Document 1-1-4]

Other information and basic documents which form the backbone of OIST, are also presented to the public through OIST website. [Document 1-1-5] [Document 1-1-6] [Document 1-1-7]

With the two objectives specified in Article 1 of the OIST SC Act, which are contribution to the sustainable development and contribution to the advancement of science and technology worldwide, OIST clearly lays out its central concepts in Chapter 1 of the graduate university's standard document, the Framework Document II, and PRP1.1.1. These concepts are: best in the world, interdisciplinarity, internationality, flexibility, global networking, and collaboration with industry. Our unique education, research, and characteristic efforts towards contribution to society are clearly indicated in our website. [Document 1-1-8]

In FY2014, OIST published the Okinawa Institute of Science and Technology Graduate University Framework Document II. This report reviewed the progress OIST had made so far and outlined the future development toward 300 faculty members with a detailed plan of expanding its size up to 100 faculty members in the next 10 years.

In July 2015, an external Peer Review was conducted to evaluate OIST's progress and expansion plan. The focus of the evaluation was to assess whether OIST Graduate University is on track to become a world-class education and research university capable of generating sustainable development for Okinawa.

In the executive summary of its report, the Peer Review Panel unambiguously confirmed that progress across all key measures of excellence has been outstanding. Also, as a central recommendation, the Panel endorsed the expansion plan suggested in the Framework Document II, aiming at a goal of approximately 100 outstanding research groups, with a proper balance among different fields of research, and a graduate school of a few hundred students, one decade from now, by the mid 2020's. [Document 1-1-9]

In recent years, Japanese higher education and academia strongly emphasize the importance of "interdisciplinarity" and "internationality" in research and education to promote innovation in science and technology. OIST has been ahead of the times, demonstrating "interdisciplinarity" and "internationality" as the ideals and guiding principles since its establishment.

In Japan's 5th Science and Technology Basic Plan approved by the cabinet in January 2016, the Japanese government stated that Japan is working to form world-class research centers that can show high research standards and top-tier research environments in order to attract leading researchers from throughout the nation and around the world, using the leading-edge efforts at OIST as a reference. [Document 1-1-10]

OIST does not settle for the foresight, but strives to precisely respond to the changes of social needs by reviewing the initial phase comprising 50 faculty members and 100 students and working toward its expansion for further enhanced interdisciplinarity.

(3) Measures for improvement or enhancement on 1-1 (the future plan)
Regarding its mission, goals, and educational objectives based on the founding principles, ideals and guiding principles, OIST has implemented simple documentation and publication through media with consistency. OIST will continue to internally and externally inform and publicize its mission, goals, and educational objectives.

OIST was approved in 2011 October, opened the graduate program with the enrollment of the first class students in FY2012, and has just produced its first graduates in FY2017.

Our missions, goals, and educational objectives well reflect our distinctive quality and have been incorporated into national policies through the Science and Technology Basic Plan. Our objectives still remain timely and will continue to be pursued.

1-2 Reflection of the mission, goals, and educational objectives
<<Perspectives for 1-2>>
1-2-(1) Understanding and support of administrative executives, faculty, and staff
1-2-(2) Internal and external dissemination
1-2-(3) Reflection of the mission, goals, and educational objectives in mid- and long-term plans
1-2-(4) Reflection of the mission, goals, and educational objectives in the Three Policies
1-2-(5) Consistency between the mission, goals, and educational objectives on one hand, and the structure of education and research organizations on the other

(1) Self-evaluation for 1-2

"OIST satisfies the Points Evaluated 1-2"

(2) Justification for self-evaluation for 1-2 (Fact-providing grounds for self-evaluation)
1-2-(1) Understanding and support of administrative executives, faculty and staff
1-2-(2) Internal and external communication
1-2-(3) Reflection of the mission, goals and educational objectives in mid- and long-term plans
1-2-(4) Reflection of the mission, goals, and educational objectives in the Three Policies
1-2-(5) Structure and consistency of the mission, goals and educational objectives on one hand, and education and research organization on the other

Administrative executives were the founding members of OIST, involved in developing its mission, goals, and educational objectives. Faculty and staff participate in the operation of the graduate university after fully understanding its mission, goals, and educational objectives through the staff recruitment information posted on our website. In addition, we inform OIST's mission, goals, and educational objectives internally by clearly stating them on our website and other formats. [Document 1-2-1]

OIST publicizes its mission, objectives, and educational goals through Article 1 of the OIST SC Act, websites (such as OIST Graduate School Three Policies website and staff recruitment website), PRP Chapter 5 "Graduate School Handbook", and other means. Also, we target domestic and international audiences for further publicity through a truly bilingual website we created. [Document 1-2-2] [Document 1-2-3] [Document 1-2-4]

OIST's mission, goals, and educational objectives are incorporated into our mid- to long-term standard document, the Framework Document II, and the Business Plan, which is legally-mandated to be formulated every fiscal year. [Document 1-2-5] [Document 1-2-6]

Founding Principles, Ideals and Guiding Principles of the Graduate University (Framework Document II):

The Okinawa Institute of Science and Technology Graduate University (OIST) aspires to become one of the world's premier research universities within its first decade of operations. OIST's mandate is to achieve excellence in research and science education so as to meet global challenges for which science and technology can provide solutions. It further aspires to be a catalyst for the economic renaissance of Okinawa and all of Japan.

Introduction of FY2015 Business Plan:

In November 1, 2011, the Okinawa Institute of Science and Technology School Corporation Act (OIST SC Act, Act No.76 of 2009) came into effect, with the objectives of contributing to the promotion and self-sustainable development of Okinawa as well as contributing to the advancement of science and technology in Japan and throughout the world. In connection with the enforcement of this Act, and with the prior authorization by the Minister of Education, Culture, Sports, Science and Technology, the Okinawa Institute of Science and Technology School Corporation (OIST SC) was established as a school corporation to operate the Okinawa Institute of Science and Technology Graduate University (OIST Graduate University) which conducts world-class education and research in science and technology. This Business Plan has been developed, with an approval of the OIST SC Board of Governors based on the Article 9 of the OIST SC Act.

The three policies, the admission policy, curriculum policy, and diploma policy, are stipulated based on OIST's mission, goals, and educational objectives as follows, and further clarified by the Board of Governors, the Faculty Assembly, the Admission Committee, and others. The admission policy is clearly stated in "Application Requirements" on our website every year. The curriculum and diploma policies are specified in PRP5.2. [Document 1-2-7]

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" 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 within 12 months, 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 or all coursework as described above, with the approval of the Dean. Successful candidates will only be enrolled into a doctoral program.

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 interdisciplinary program without barriers between laboratories.

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.

Diploma Policy

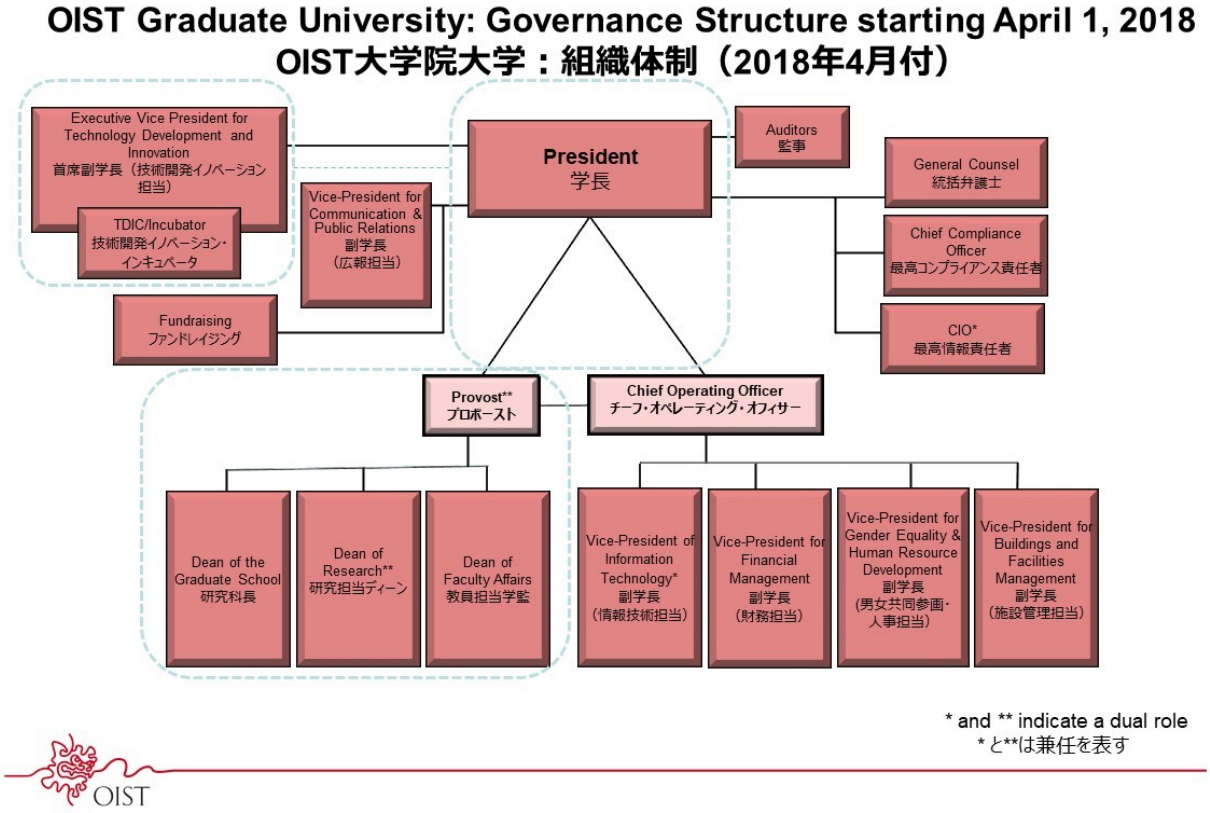
The Ph.D. degree is conferred by the University in recognition of completion by the candidate of original research that makes a significant contribution to scientific knowledge. The degree is not awarded for completion of certain courses or a fixed period of enrolment, or for directed work as a technician. 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.

With its emphasis on interdisciplinary research and education, OIST has a single graduate program to promote cooperation and interaction beyond traditional disciplinary and departmental boundaries.

In keeping with the mandate of the OIST School Corporation Act, OIST education and research organization and the administration present a unified management structure as shown in Figure 1-2-1.

Figure 1-2-1. OIST School Corporation Organizational Chart



As indicated by a dotted frame in the above figure, a system was organized to fulfill OIST's mission, goals, and research objectives: the best research and education in the world and the development of Okinawa. The system reflects these objectives of OIST and comprised of three Deans (Dean of the Graduate School, Dean of Research, and Dean of Faculty Affairs) and Executive Vice President, described below:

Dean of the Graduate School

The Dean of the Graduate School 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.

Dean of Faculty Affairs

The Dean for Faculty Affairs is responsible for administration of general matters concerning the faculty as described in detail in the Faculty Handbook, including faculty appointments and promotions; Faculty salary setting; leaves of absence and sabbaticals; appeals, administration of the review of the Research Units, administrative support for the operation of the Faculty Assembly and the Faculty Council, management of Faculty database, and administration of Faculty Handbook.

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.

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.

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 sustainable development of Okinawa. Key elements of this mission are management of intellectual property, technology transfer, and business development.

(3) Measures for improvement or enhancement on 1-2 (the future plan)
The three policies are developed in accordance with OIST's mission, goals, and educational objectives, recognized both internally and externally, and understood and supported by faculty and staff. As OIST grows, its organizational system, mainly composed of three Deans (Dean of the Graduate School, Dean of Research, and Dean of Faculty Affairs), Executive Vice President and COO, will continue to evolve through constant evaluation of the policies based on students' needs and social circumstances which changes over time.

[Self-evaluation for Standard 1]
OIST appropriately and clearly states its mission, goals, and educational objectives and incorporates them into the three policies and Business Plans. The mission and objectives are integrated into the Science and Technology Basic Plan and consistent with national policies. We ensure the Board of Governors, executives, faculty, and staff to understand the mission and objectives and publicize them internally and externally through website and other means.

In general, the three policies, which reflect our mission, goals, and educational objectives, are important pillars for internal decision making. They also form the basis on which the operational and governing systems are organized.

Therefore, we conclude that OIST satisfies the Standard 1. "Mission and Objectives, etc."

Standard 2. Students

2-1 Admission of students
<<Perspectives for 2-1>>
2-1-(1) Development and dissemination of the Admission Policy based on educational objectives
2-1-(2) Implementation and verification of admission methods in accordance with th Admission Policy
2-1-(3) Maintenance of appropriate numbers of admitted students based on yearly enrollment quotas

(1) Self-evaluation for 2-1

"OIST satisfies the Points Evaluated 2-1"

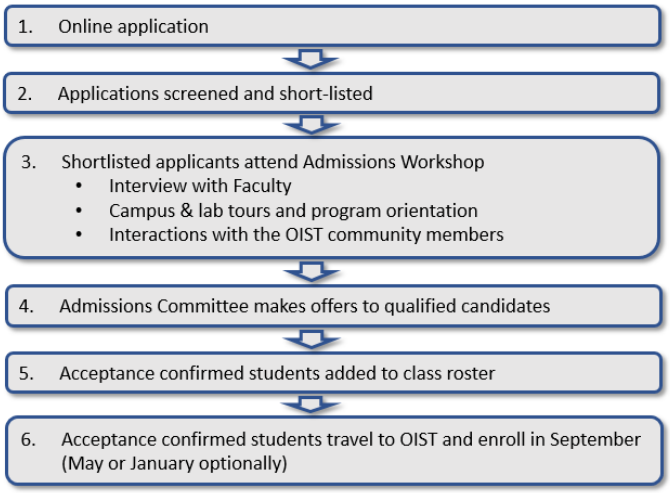
(2) Justification for self-evaluation for 2-1 (Fact-providing grounds for self-evaluation)
2-1-(1) Development and publication of the Admission Policy based on educational objectives
2-1-(2) Implementation and verification of admission methods in accordance with the Admission Policy
2-1-(3) Maintenance of appropriate numbers of students admitted based on yearly enrollment quotas

OIST publicizes its admission policy by clearly stating online (Admissions.oist.jp/admissions-policy) that "OIST aims to train researchers who will play important roles in the international scientific community at leading scientific institutions." Accordingly, recruitment focuses on attracting outstanding students with the potential and motivation to become leaders in scientific research on the international stage. [Document 2-1-1]

Here, "outstanding" means students who are highly motivated by the excitement and potential of 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 as specified in PRP. [Document 2-1-2]

OIST selects students for admission in a fair and appropriate manner under the system shown below in Figure 2-1-1, and makes necessary improvements through reviewing the manner and system after the admission workshops.

Figure 2-1-1. Admission Process (As of May 2018)



OIST accepts 50 full-time graduate students per year. This ensures low numbers of students for each faculty member so that we can deliver best-in-the-world teaching for our graduate program in accordance with the above policy.

The basic requirement for the OIST Graduate Program is completion of a Bachelor's, Master's or equivalent degree prior to the admission date. Candidates are considered for admission without regard to race, color, religion, national origin, disability, or gender.

Prospective students are required to apply online. Documents required include current academic transcript and any completed diploma (BSc, MSc, etc.) with an English explanation for transcripts that are not written in English, an applicant's statement (this should address "the applicant's scientific interests and aspirations" and "what the applicant hopes to gain from undertaking graduate studies at OIST" in not more than 400 words in English), and at least 2 but no more than 5 letters of recommendation from appropriate academic referees. Other indicators of academic achievement and ability may also be supplied (such as the title and abstract of publication and/or public presentation). These requirements are specified in the "Application Process" in OIST Admissions website.

Multiple faculty members review all material submitted by each student, and the Admissions Committee makes a short-list of about 80-100 applicants based on the evaluation by the faculty. The short-listed applicants are invited to an Admissions Workshop held in February, June, or August. [Document 2-1-3]

The qualities that OIST seeks in our students are not easily measured by standard examination scores because students can rote-learn for such exams and a high score does not indicate motivation to do research, curiosity, or capacity for independent research and original thinking. Hence, the final selection of the Ph.D. students is done through the Admissions Workshop whose objectives are as follows, weighing heavily on assessment by interviews:

- 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.

- Provide tours of OIST research and teaching facilities, student support and accommodation, and the surrounding environments.
- Provide a social program giving an opportunity for students to meet existing students and faculty members.

The workshop will comprise a minimum of two full days. The travel costs, accommodation, and all meals are provided by OIST.

According to the result of the workshop, the Admissions Committee makes a final decision and successful applicants are sent an offer letter. If they accept the offer, their admission to the graduate program will be settled.

In principle, OIST accepts graduate students for entrance in September in order to accommodate applications from both international students and Japanese students. However, some students may need to start at the beginning of other terms to accommodate their schedule. This is permitted as an exception in May or in January.

Students not yet sufficiently confident in English may take part in an intensive immersion program prior to beginning their studies at OIST. In addition, some students may take pre-enrollment courses to develop laboratory experience so they may benefit more rapidly from the laboratory component of the OIST program. Such students may gain lab experience at OIST or may be sent to a laboratory appropriate to their specific needs including language training. [Document 2-1-4]

The plan for the expansion of OIST has been outlined in the Framework Document II. This plan includes the construction of new laboratory buildings, the hiring of new faculty to double the size from 50 in 2014 to 100 by FY2023, and an expansion of the number of students from 300 by FY 2023. [Document 2-1-5]

Following the successful Peer Review, the Japanese Government approved FY2015 funds for expansion. Accordingly, the annual budget request includes the increase of faculty members and students. [Document 2-1-6]

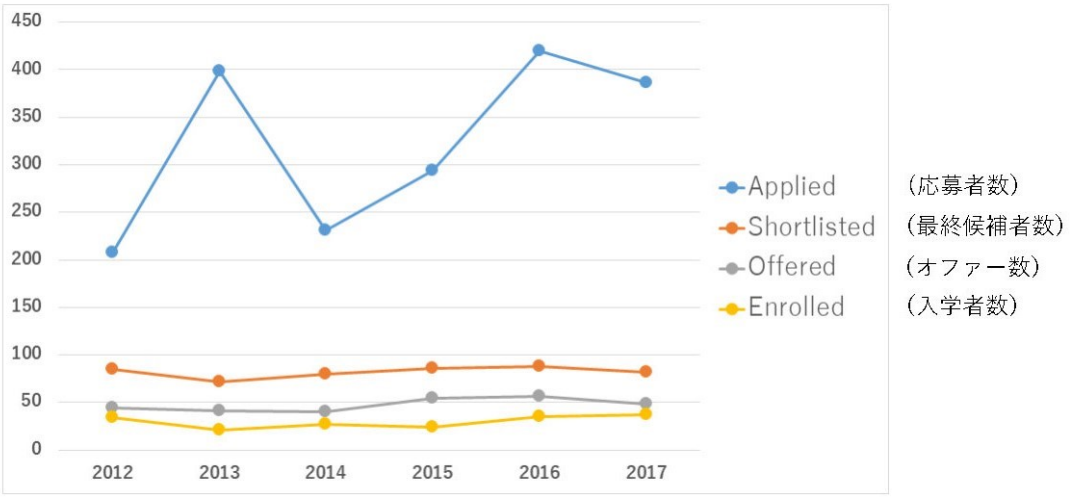
OIST maintains the highest quality standards in the selection of faculty members and further strengthens the present areas of competence. Also, OIST applies the highest quality standards in the selection of students to ensure and maintain the quality. [Document 2-1-7] [Document 2-1-8]

In FY2018, OIST will seek to appoint outstanding faculty members in Chemistry, Cell Biology, Computer Science and Marine Science to increase the number of Faculty Units to 70 and 50 new students. Students are a key ingredient in the success of OIST research. As the Faculty grows, the student population must grow in direct proportion. The Framework Document II stated that the target for Phase I (FY2017) is a student to faculty ratio of 2, but from long-term perspective (FY2020), OIST plans to increase the number of students to reach the ultimate ratio of student to faculty of 3. [Document 2-1-5]

As shown in Figure 2-1-2 below, the number of applications for the Ph.D. program at OIST well exceed the yearly enrollment quotas and OIST has been able to secure enough students to admit. We can now be confident of sustaining a ratio of 3:1 without a decrease in quality. This confidence is based on a steady rate of acceptance of about 1 admission for each 10

applications. In other words, the number of applications for admission has increased proportionate to the increase in number of professors. This steady growth in number of applications allows us to maintain a highly selective rate of admission. Our progress is therefore consistent with moving to the desired ratio of 3:1.

Figure 2-1-2 Transition of the number of applicants, offers, and admitted students
(As of now, May 1st, 2018)



(3) Measures for improvement or enhancement on 2-1 (the future plan)
OIST will continue to attract and select the graduate students for our Doctoral program from amongst the best available worldwide in science and technology. To this end, we will carry out student recruitment activities globally to attract the highest caliber graduate student candidates as follows:

- Continue to develop the graduate school website as a recruiting tool. In addition, print a concise and well edited student recruitment brochure. Particularly, we will print specially targeted flyers to recruit applicants from disciplines such as Physics or Ecology and Evolutionary Biology.
- Hold science contests for undergraduate Japanese students, and grant the winners the opportunity to join a workshop at OIST to experience cutting edge research.
- Have OIST students present at their home country or university upon traveling there to promote OIST.
- Use alumni network to introduce OIST to target students.

2-2 Support for learning
<<Perspectives for 2-2>>
2-2-(1) Development of a support system for education including collaboration between faculty and staff
2-2-(2) Enhanced support for education including effective use of TAs (teaching assistants), etc.

(1) Self-evaluation for 2-2

"OIST satisfies the Points Evaluated 2-2"

(2) Justification for self-evaluation for 2-2 (Fact-providing grounds for self-evaluation)
2-2-(1) Development of a support system for education including collaboration between faculty and staff
2-2-(2) Enhanced support for education including effective use of TAs (teaching assistants), etc.

For each course, Academic Services Section provides necessary resources including teaching labs, required equipment, and/or consumables, enabling faculty to focus on teaching rather than preparation of the materials. The OIST Graduate School uses the same learning management system (eFront PRO) used for all training across the university (such as mandatory training courses, general and specific university safety courses, and equipment training) to manage class materials and homework. Due to our small faculty-student ratio, an average class size is 5 students. This facilitates interactive learning, where students and the course instructor maintain a close relationship that enables active discussions among students and with the course instructor.

OIST's policies regarding support for learning and class instruction
The OIST Graduate University offers an individualized Ph.D. program providing a secure foundation in the fundamentals of the field of each student, with unparalleled opportunities for cross-disciplinary research. We recognize every student as a unique individual and take this into account in the design of each student's program.

Specific efforts includes the following according to the policies:

- In Year 1, OIST assigns an Academic Mentor to each student to provide support for the duration of the student's time at OIST. This begins with tailoring the program to each student's specific background and needs at their first meeting, before the program starts. Support from the Mentor continues with periodic meetings with their students to ensure their healthy academic standing and progress.
- In Year 2 and later, students select a preliminary Supervisor to work with in developing their thesis proposal. The Academic Mentor continues to provide additional support and counselling. Towards the end of the second year, all three members of their Thesis Committee are confirmed. CEC ensures the membership of the Thesis Committee will be sufficient to provide support for students.
- OIST supports learning and class instruction through collaboration between faculty members and staff, through regular meetings of CEC, and through reporting by the Dean of the Graduate School and discussion of related issues at the Faculty Assembly. [Document 2-2-1]
- OIST's support for teaching by faculty members includes providing materials for experiments and classroom arrangement by a Teaching Resources Coordinator and staff of Academic Services. Well equipped teaching laboratories allow excellent exposure to and training with the latest scientific equipment and techniques. [Document 2-2-2]

For students who encounter difficulties while studying in the Graduate School, OIST has provided appropriate support including assigning an Academic Mentor and supervisor, and providing consultation service by a Examinations, Research Progress, and Degree Completions Coordinator, providing mental health care by ("**Ganjuu**" is an Okinawan word meaning '**good, well, strong, healthy**'). These policies and efforts provide intense support

for learning. [Document 2-2-3] [Document 2-2-4]

Students who fail a course may repeat it. Students who for a range of personal or health reasons are temporarily unable to study are allowed extended periods of Non-Study Leave, during which they are not required to remain at OIST (up to two years in total) and their enrolment is suspended.

OIST appropriately takes students' opinions into account in improving the support for learning and class instruction, by having established a system to hear from students, such as class evaluation questionnaire survey by students, and periodically meeting with the Student Council members for their feedback, etc. [Document 2-2-5]

Students who withdrew or suspended from the university, or repeated a year

Since the enrollment of the first class of Ph.D. students in 2012, 8 students took non-study leave, and 11 students discontinued their Ph.D. program, including 4 who took non-study leave before departure, and 2 who exited with MSc degree.

While some of these students had problems in their academic progresses, reasons/background varied, and the Graduate School dealt with all cases on an individual basis, in partnership with these students' Academic Mentors, Supervisors, and/or Ganjuu Wellbeing Service when necessary/appropriate. The Curriculum and Examinations Committee is informed when there are problems in students' academic progress and discusses measures to be taken for improvement.

(3) Measures for improvement or enhancement on 2-2 (the future plan)

The Student Council, representatives of the entire student body, regularly meet with the BOG/BOC, the President, the Faculty Assembly, the Dean of the Graduate School, and Dean of Research, providing them with feedback and opinions collected from the students. OIST will continue to use these feedback/opinions, as well as the results of surveys/questionnaires, to enhance the support for learning.

2-3 Career guidance

<<Perspectives for 2-3>>

2-3-(1) Development of a system to provide guidance on social and professional independence within and out of the educational curriculum

(1) Self-evaluation for 2-3

"OIST satisfies the Points Evaluated 2-3"

(2) Justification for self-evaluation for 2-3 (Fact-providing grounds for self-evaluation)

2-3-(1) Development of a system to provide guidance on social and professional independence within and out of the educational curriculum

OIST's support for students' career development is clearly embedded in the regular curriculum through the following specific measures.

Professional Development I and II are mandatory courses and comprise a series of seminars and workshops designed to prepare OIST graduates to proceed in their scientific career. Communication, media, and presentation techniques are developed through these courses.

Grant writing experience, teaching experience and job preparation (CV and resume writing) are also developed in the Professional Development courses. Invited experts from industry and cutting-edge science share their experience and deliver seminars and workshops to deepen students' understanding of careers related to science. Building connections with stakeholders in related industries through such interactions will be beneficial for the future of OIST's outstanding students, whenever they will conduct their research after graduation.

The Academic Mentor, Thesis Supervisor, and all other faculty members at OIST are responsible for providing students with career guidance throughout the education and research at OIST. This applies similarly to students who choose a different career paths from research.

Extracurricular career support first includes providing information to students and organizing relevant events by the Admissions and Career Development Section to support career exploration. In addition, the section collects employment information, distributes the information through internal website and bulletin boards for students, and provide productive counseling for students. [Document 2-3-1]

The Admissions and Career Development Section conducts one-on-one interviews every year with every student in the Ph.D. program to track their professional development and career aspirations. In these interviews students share what kind of skills they want to improve for successfully getting job offers along with their career aspirations, based on which the Graduate school improves its workshop/seminar offerings in partnership with other relevant parties, such as Office of Faculty Affairs and/or Business Development Section.

More specifically, the Admissions and Career Development Section creates and manages a list of websites for job postings to facilitate easy searching by students for their employment opportunities. This list of websites is displayed on a Student Careers website, enabling easy access. Students can search job postings of universities and research institutes around the world with one-stop access, as well as viewing CV, resume and cover letter templates, and other careers advice on this website. [Document 2-3-2]

OIST offers OIST Ph.D. 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:

- Assisting an OIST faculty member in the delivery of an OIST Ph.D. course
- Acting as tutors in OIST International Workshops, etc.
- Contributing to outreach activities such as open campus, school visits, Children's School of Science
- Assisting in educational activities at other universities, by agreement between the universities
- Assisting in other educational activities organized by OIST

Teaching experience is important for an academic career. The graduate school keeps a record of Teaching Assistant activity for each student. A record of teaching experience is submitted by students to the Manager of the Admissions and Career Development Section during a Professional Development course.

Students also have an opportunity to improve their teaching skills by taking part in a teaching workshop arranged by the Admissions and Careers Development Section.

As for career path of graduates, only 14 students from the first intake have been awarded their Ph.D. degrees as of today. 7 have been offered postdoctoral positions at internationally prestigious universities: Harvard University, Lawrence Berkeley National Laboratory, Johns Hopkins University, and Tokyo University.
A lot of other students expected to graduate during the next year are expected to follow similar career paths as researches, with some pursuing opportunities in industries. [Document 2-3-3]

(3) Measures for improvement or enhancement on 2-3 (the future plan)

- OIST will continue to provide the programs for Professional Development for students, including training that focuses on group activities and presentation skills, research conduct, career development, teaching experience, and training programs focusing on holding lectures by invited student-speakers.
- OIST will continue to support career development of students by facilitating professional development activities, including Teaching Assistant opportunities at other universities and colleges and networking with leaders of universities and research institutions in Japan and around the world, and by providing the information concerning post-doctoral and other job opportunities through a program of visiting speakers and other means.
- The Admissions and Career Development Section will continue to conduct one-on-one interviews with every student in the Ph.D. program, directly hearing what kind of skills they want to improve, based on which workshop/seminar offerings should be reviewed and enhanced in partnership with relevant sections. The students' PD2 course evaluations will also be used continuously.
- Graduate School has started conducting an exit survey with each graduating student to keep track of their career paths after graduation. OIST will keep regular contact with alumni to update the alumni data including their career information.
- OIST is developing school-wide alumni association, a network that anyone who has studied and/or worked at OIST is eligible to join, providing members with access to a solid network of professionals and external stakeholders, as well as to potential job opportunities through this vast network.

2-4 Student services
<<Perspectives for 2-4>>
2-4-(1) Support for stable school life

(1) Self-evaluation for 2-4

"OIST satisfies the Points Evaluated 2-4."

(2) Justification for self-evaluation for 2-4 (Fact-providing grounds for self-evaluation)
2-4-(1) Support for stable school life

The mission of OIST is to create an international graduate university that is the 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. OIST offers financial support comparable to that offered by other leading research universities. [Document 2-4-1]

Financial support
(1) OIST Research Assistantship

A Research Assistantship is an appointment provided to a student in good standing who performs research or who assists others performing research and educational activities. During tenure of the Research Assistantship, 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 an Assistantship is normally five years. Students are expected to complete the requirements for graduation within the five year period. In case of early completion of requirements, Assistantships are 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).

(2) External fellowships and awards
While OIST maintains financial support system, students are strongly encouraged to apply for external fellowships. An OIST Research Assistantship may be held concurrently with external scholarship up to a maximum of 3.0 million yen total, which is 0.6 million yen above the standard level. There is an obligation on the student to report external fellowships to the responsible Section of the Graduate School. [Document 2-4-2]

(3) Tuition waiver
OIST may offer full amount tuition waiver to those who are recognized for their excellence in performance of research work (by JSPS scholar, etc.). Application review and decision making are made by the Curriculum and Examination Committee.

(4) Travel support for educational purposes
OIST provides travel support (tickets for a round-trip economy flight) for visiting an educational institution. 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.

(5) Travel grants for students to attend conferences
OIST provides travel support for students to attend conferences and other educational activities.

(6) Transfer allowance and relocation expenses
Transfer allowance and relocation expenses are provided.

(7) Commuting
Students who need to commute are expected to use the OIST's shuttle bus. A commuting allowance by mileage from their home location may be paid to students who live outside of campus and meet certain conditions.

Student health and welfare
(1) Student health and counselling
OIST has a Campus Clinic service during working hours. If necessary, the Clinic refers students to local health services. The Clinic opened with full-time bilingual members of a doctor, a nurse and an admin staff and covers the students' needs for general health on campus. For mental health support, the Ganjuu Wellbeing Service is provided by clinical psychologists. [Document 2-4-3]

(2) Insurance

Students are covered by Personal Accident Insurance for Students Pursuing Education and Research (PAS), and Liability Insurance coupled with PAS (Gakkensai and Gakkenbai) provided by OIST.

(3) Students needing childcare are eligible to use on-campus early-childhood education facilities (hereinafter referred to as "CDC") [Document 2-4-4]

(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) 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. All apartments have air conditioning in living room and bedrooms, and have a full set of the basic furniture and furnishings needed for daily life. 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 a full set of appliances, and meeting/event rooms. Utility charges are the responsibility of the students. Students have to pay for electricity, gas, water, plus optional landline phone, fiber internet, and cable TV if required.

If a student is required to live off-campus due to unavoidable circumstances, such as shortage of housing in the Campus Housing, OIST may lease off-campus housing for residence of the student [Document 2-4-5].

(3) Measures for improvement or enhancement on 2-4 (the future plan)
At OIST, majority of the students are from outside Japan. OIST will enhance their understanding of Japanese culture by organizing cultural events and provide opportunities for interaction with students in other Japanese universities.

OIST will continue to provide an environment for the students in which they will be able to concentrate in their research activities under the living standard comparable to that of the students of the best universities in the world that we are competing with.

2-5 Development of the educational environment
<<Perspectives for 2-5>>
- **2-5-(1) Development, proper administration, and management of the educational environment including school grounds, buildings, etc.**
- **2-5-(2) Effective use of practical training facilities, library, etc.**
- **2-5-(3) Accessibilities of the facilities and equipment for people with disabilities**
- **2-5-(4) Proper management of the number of students attending class**

(1) Self-evaluation for 2-5

"OIST satisfies the Points Evaluated 2-5."

(2) Justification for self-evaluation for 2-5 (Fact-providing grounds for self-evaluation)
2-5-(1) Development, proper administration, and management of the educational environment including school grounds, buildings, etc.
2-5-(2) Effective use of practical training facilities, library, etc.

2-5-(3) Accessibilities of the facilities and equipment for people with disabilities
2-5-(4) Proper management of the number of students attending class

The campus has been developed in line with the three basic concepts below.

- Cutting-edge technology and environmental harmony
- Interdisciplinary interactions
- Collaboration with industry and networking

While cutting-edge technology is central to the main campus, the campus is built, as much as possible, in harmony with the rich natural environment on Okinawa, securing a symbiotic relationship between the campus and environment. The facilities are designed in such a way that interactions among researchers and students are encouraged to the maximum extent to foster interdisciplinary education and research. Facilities for international workshops and industry collaboration facilitate the global networking of the Graduate University. [Document 2-5-1]

The total area of OIST Main Campus is 696,914.91 m^2, of which 641.803.60 m^2 has been freely leased from Onna-son. The Main Campus consists of the "Laboratory Zone" and the "Village Zone." The Laboratory Zone is the center of education and research, and the Village Zone consists mostly of residential facilities for students and researchers. A zone for industry-academia collaboration that accommodates corporate research institutes and laboratories are also developed.

In the first stage of the campus development, four buildings have been constructed for laboratories and associated common facilities and administration in the Laboratory Zone. Center Building, Lab 1, Lab 2, and Lab 3 have already been completed (Lab 4 is under construction).

The Center Building is the center of the interaction among students, researchers, and supporting staff. It holds lecture rooms, Common Facilities such as library and health center, and offices for University management.

Students are spending most of their time in Lab Buildings for Research Courses and thesis research. Open Laboratories in these buildings are equipped with common/shared space used by multiple research units for their research activities. This research environment centralizes common research facilities and encourages the interactions among students and researchers.

In addition to the research space described above, all full-time faculty members are assigned an office of 19 m^2. The office is used for their individual and joint research and guidance for students. From the first year of study, all students are assigned to a research unit (Research Rotations), where the individual study space is provided with a desk and chair. Study Rooms are also available as additional places to study, and meetings rooms can be used for study group sessions. Student Lounges are located near the entrance and stairs where the traffic meets, which fosters the informal interactions among students and researchers. [Document 2-5-2]

Table 2-5-1. Number of rooms and capacity

Center Building	Lecture Hall (150 persons), 2 Seminar Rooms (60 persons each), 4 Meeting Rooms (16-20 persons), Experiment/Practice Room, Academic Affairs and Administrative Office, the President's office, Library,

	Media Center, Health Center, and Restaurant.
Lab 1	Open Laboratories (multiple laboratories per floor), 6 Lecture Rooms (16-20 persons), 2 Study Rooms, 5 Student Lounges, and 20 Faculty Offices.
Lab 2	Open Laboratories (multiple laboratories per floor), 4 Lecture Rooms (12-20 persons), 6 Student Lounges, and 16 Faculty Offices.
Lab 3	Open Laboratories (multiple laboratories per floor), 1 Seminar Room (60 persons), 6 Lecture Rooms (16 – persons 20 persons), 11 Meeting Rooms (8 – 12 persons), and 24 Faculty Offices
Lab 4	Under Construction
Engineering Support Building	2 Floors; Engineering Support Machine Workshop (1F), Administration Office Space (2F), Archives and Storage Spaces (1F & 2F), Lounge and Meetings Spaces.
Marine Science Station Building & Seawater Supply Building	Outdoor Open Tanks Area, Indoor Open Tanks Area, Open Marine Laboratories, 2 Marine Workshops, 2 Faculty Offices, One Open Staff Office, Lounge and Meeting Spaces, and Seawater Pump Station Facilities
Auditorium and Conference Center	Auditorium with 500 Seats and AV Facilities, 3 Seminar/Meeting Rooms, Reception Lobby for Conference Facilities
Seaside House	Workshop Facilities, 3 Meeting Rooms (20 persons), Seminar Room (60 persons), Multifunctional Space (60 – 100 persons), One Research Lab Unit

Access to advanced facilities and equipment is necessary for graduate student thesis research to be at the cutting edge. The Center Building and Lab1 are state-of-the-art, and they are central research facilities including core facilities for genomics, electron microscopy, and high-performance computing. Individual laboratories are also well equipped for all research requirements. These conditions ensure that students have the opportunity to realize their full potential in research. [Document 2-5-3]

Secured wireless internet access for all OIST members and additional wireless internet access for guests is available throughout entire OIST facilities. Seminar rooms and meeting rooms have been equipped with state of the art video and audio conferencing equipment, enabling global connection through the internet. A well maintained and highly secured sever room guarantees a seamless connectivity without interruption.

OIST has continued to upgrade its information technology infrastructure to meet the growing and evolving needs of the University. Server room capacity, including cooling and uninterruptable power supply, have been upgraded to meet the present and forecast research computing demands. The network has been designed, implemented and enhanced to support the large data flows coming from research equipment, and the high bandwidth requirements of the High Performance Computing infrastructures. The OIST primary internet connection has been upgraded to 100G, providing ample bandwidth for the flow of research data internationally.

Video conferencing equipment has been installed into many meeting rooms, and integrated with the OIST calendaring system. This allows researchers and administrative staff to readily schedule video conferences, and collaborate nationally and internationally.

The OIST Library is a key part of the OIST infrastructure, critical to the education and research activities. The Library provides both a library facility and an online environment for OIST-affiliated users to have access to a diverse range of literature, reference materials and databases.

The Library holds a collection of electronic and printed materials (the Collection) to support OIST's teaching and research activities. 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.

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 machine, and facilities for user-operated check-out of books. [Document 2-5-4]

All OIST facilities have been designed based on Japanese Building & Construction Laws, which require accessibility for disabled people. We follow the same rules in installation of research equipment and lab facilities. All OIST buildings include Family Rooms or Mothers Rooms for the parents with babies who require nursing as part of user-friendly measures as well.
Disaster and fire prevention measures of the Facility Management Section are executed based on Fire and Building Standard Laws of Japan. In addition, implementation of disaster or fire drills, creation of disaster response procedures, and self-defense organization, have been made based on OIST's disaster and fire prevention plan.
Earthquake countermeasures for office furniture, laboratory equipment, and computers in the facilities are executed based on the earthquake countermeasure rules of OIST. Earthquake countermeasures for the new furniture and equipment are executed by the supplier at the time of purchase. Members of OIST Facility Management take necessary earthquake countermeasures by fixation to the floor or wall upon inspection and surveys. [Document 2-5-5]

The Framework Document II stated that the target for Phase I (FY2017) is a student to faculty ratio of 2, and our long-term plan of the ratio is 3. Due to this small faculty-student ratio, an average class size is 5 students, which facilitates interactive learning, where students and the course instructor maintain a close relationship that enables active discussions among students and with the course instructor. The small class sizes also permit the professor to tailor the delivery of a course for each student, regardless of the level of background of each student.

(3) Measures for improvement or enhancement on 2-5 (the future plan)
A thorough survey is conducted prior to design future facilities to detect any existing flaws and to improve and enhances future facilities. OIST continues to design the educational facilities which are based on the highest international standards and undertaken by a team of Japanese and international consulting firms to ensure implementation of the latest

technological advancements, while maintaining a pleasant environment for work and research.

2-6 Response to students' opinions and requests
<<Perspectives for 2-6>>
2-6-(1) Monitoring and analyzing students' opinions and requests concerning educational support, and effectively using the results
2-6-(2) Monitoring and analyzing students' opinions and requests concerning school life including mental and physical health counseling and financial support, as well as effectively using the results
2-6-(3) Monitoring and analyzing students' opinions and requests concerning the educational environment, and effectively using the results

(1) Self-evaluation for 2-6

"OIST satisfies the Points Evaluated 2-6"

(2) Justification for self-evaluation for 2-6 (Fact-providing grounds for self-evaluation)
2-6-(1) Monitoring and analyzing students' opinions and requests concerning learning support, and effectively using the results
2-6-(2) Monitoring and analyzing students' opinions and requests concerning school life including mental and physical health counselling and financial support, as well as effectively using the results
2-6-(3) Monitoring and analyzing students' opinions and requests concerning learning environment, and effectively using the results

The Student Council, representatives of the entire student body, regularly meet with the BOG/BOC, the President, the Faculty Assembly, the Dean of the Graduate School, the Dean of the Research, Building and Facility Management, and thus, provide them with feedback and opinions collected from the students, directly and indirectly participating reviews and discussions on matters affecting the students, including educational environment, curriculum, financial support, and other students' welfare matters. [Document 2-6-1]

The Graduate School added "Faculty Talks on 'Thesis Research Opportunities'" sessions to the Admissions Workshop program from February 2018 Admissions Workshop, in light of the Student Council's recommendation that more attention be paid to matching incoming students with available faculty. This is one of recent examples of the Graduate School's efforts of responding to the students' feedback and opinions collected through the Student Council. Students' teaching requirements have been formalized in the course of Professional Development 2, also reflecting the discussions between the Dean of the Graduate School and the Student Council at monthly meetings.

The Graduate School plans to conduct a satisfaction survey to more quantitatively measure the level of students' satisfaction, as we grow in size and the needs arise to have means to consistently and structurally measure their satisfaction for further improvement. The Student Council is to be involved in finalization of the design of the survey as well as the finalization of the question sets.

(3) Measures for improvement or enhancement on 2-6 (the future plan)

Regular meetings between the Dean of the Graduate school and the Student Council will also continue to play an important role in understanding the level of satisfaction of the students for the Dean to follow up further at CEC/Faculty Assembly/Board of Governors meetings, discussing the improvement actions. In addition, the Graduate School will conduct a pilot survey in FY2018 to gauge the level of students' satisfaction in various OIST's support programs, including educational/learning support, living support, and facilities and equipment, with the aim of institutionalizing a comprehensive survey as a means to quantitatively measure the level of students' satisfaction, in light of increasing size of our student body. Once institutionalized, it should allow us to consistently and systematically measure the satisfaction level from year to year.

[Self-Evaluation for Standard 2]

Development and dissemination of the Admission Policy based on educational objectives

The selection of excellent students is crucial to the mission of the Graduate University. Innovative and robust practices have been established to recruit excellent students and select those meeting the required academic standards and showing the promise to be become independent scientists. The policy describing the students is detailed in the Policy Library, and disseminated on the OIST webpages and in brochures and trifold materials that are widely distributed. There is an active program of recruiting that includes information sessions in Japan and overseas, and a strong web presence including web pages, and electronic media.

Implementation and verification of admission methods in accordance with the Admission Policy

In keeping with a focus on capacity for independent thinking in addition to academic ability, selection is based not only on academic grades and ranking in classes, but also on a personal statement in English written by applicants, at least two letters of reference from professors, and an a series of five on-site, 30 minute interviews by OIST faculty members. The final selection is based on a review of the independent comments of interviewers and all materials by an Admissions Committee. The Admissions Committee makes the final decision on admissions.

Maintenance of appropriate numbers of admitted students based on yearly enrollment quotas

The number of students admitted is closely tied to yearly enrolment quotas. However, admission is based on a standard rather than a quota, and if insufficient numbers of students reach the standard a lower number may be admitted. To ensure a high standard there is only an "A-list" of students, and all students receive their offers at about the same time. There is no "second rate" list. Since most of the students receiving offers from OIST also receive offers from prestigious overseas programs there is strong competition for students, and the final number admitted may fluctuate from year to year. Therefore an exact correspondence with yearly enrolment quotas is not possible in this system; however, on the average the quota is managed perfectly well.

Development of a support system for education including collaboration between faculty and staff

A comprehensive system to support student learning has been established that includes provision of an independent Academic Mentor, a Thesis Committee, and a rotation system to provide students with a choice of thesis laboratories. A formal Curriculum and Examinations Committee includes faculty and administrative staff in the discussion of individual student progress, examination outcomes, and procedural matters related to examinations.

Enhanced support for education including effective use of TAs (teaching assistants), etc.
As a graduate university with no undergraduate courses, extensive use of teaching assistants is not employed. Classes are taught by faculty members. Students can gain experience as teaching assistants in OIST Courses if requested by the professor, or in Workshops, or extra-curricular courses.

Career guidance
The University has actively developed an innovative system of measures to provide students with career guidance and professional skills. A section responsible for career development has been established in the graduate school. In addition, there is an active course of professional development throughout the program.

Student Services
The University provides excellent support for student life. Student financial support is provided to all students so that they can concentrate on their studies without financial worries. Low cost high quality housing is available on campus, and students are required to live on campus during their first year of study. Psychological services and clinic services are available on campus, and nearby.

Development of the educational environment
The University offers an outstanding environment for education with excellent facilities for graduate students. The buildings provide opportunity for interaction and quiet spaces for contemplation. The library holds an extensive collection of books as well as subscriptions to necessary electronic journals. There are dedicated teaching laboratory facilities for all fields, which are coordinated by a Specialist. All facilities meet the legal requirements for access for people with disabilities. Class sizes are small (average about 5 students in each class) providing opportunity for interactive learning.

Response to students' opinions and requests
Student opinion on course teaching is routinely solicited and feedback is provided to the professors. An active Student Assembly has representatives on the Faculty Assembly, and an executive body, the Student Council, has a monthly meeting with the Dean of the Graduate School. Students are routinely invited to meet with the Board of Governors and Board of Councilors, and also with ad-hoc review committees. Requests from students are followed up with faculty members and executives as appropriate.

Therefore, we conclude that OIST satisfies the Standard 2. "Students".

Standard 3. Educational Curriculum

3-1 Accrediting, graduation certification, and completion certification
<<Perspectives for 3-1>>
3-1-(1) Development and dissemination the Diploma Policy based on educational objectives
3-1-(2) Development and dissemination of the standards for accrediting, promotion, graduation certification, and completion certification in accordance with the Diploma Policy
3-1-(3) Strict application of the standards for accrediting, promotion, graduation certification, and completion certification

(1) Self-evaluation for 3-1

"OIST satisfies the Points Evaluated 3-1"

(2) Justification for self-evaluation for 3-1 (Fact-providing grounds for self-evaluation)
3-1-(1) Development and dissemination of the Diploma Policy based on educational objectives
3-1-(2) Development and dissemination of the standards for accrediting, promotion, graduation certification, and completion certification in accordance with the Diploma Policy
3-1-(3) Strict application of the standards for accrediting, promotion, graduation certification, and completion certification

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. [Document 3-1-1]

Accrediting
The number of credits assigned to each course is stipulated in the website. Courses include Professional Development, Basic, Advanced, and Research Courses. The subtotal of the Professional Development, Basic, and Advanced courses amounts to a value of 20 credits. Research courses comprise Research Rotations and the Thesis Proposal and together are worth 10 credits (Three Research Rotations are always required, with a total point value of 9 credits). Each student with Bachelor's degree normally takes 9 elective courses. Elective courses (Basic and Advanced) are worth 2 credits each, and require at least 35 hours of class time, and associated additional homework and reading. Independent Study and Special Topics are worth 1 credit each, and require a minimum of 15 hours of instruction. [Document 3-1-2]

Specifies the outline of the order of study as follows. [Document 3-1-3]

[Year 1]
- ✓ Appointment of Academic mentor
- ✓ Course plan for Year 1 and Year 2 prepared (including Research Rotations)
- ✓ Professional Development I
- ✓ Complete approved Basic Courses and Advanced Courses if appropriate
- ✓ Three Rotations

[Year 2]
- ✓ Prepare Ph.D. Thesis Proposal
- ✓ Complete approved Advanced Courses and additional Basic courses as neede
- ✓ Professional Development II replaces PDI
- ✓ Nominate Thesis Supervisor(s) and Ph.D. Thesis Committee members
- ✓ Submit nominating forms and thesis proposal
- ✓ Oral qualifying examination for progression to Ph.D. thesis research conducted (one internal and one external examiner)

[Year 3-5]
- ✓ Thesis research
- ✓ Professional Development II continues
- ✓ Workshop Courses if suitable, or external conference and workshop attendance

[Ph.D. Thesis Examination]
- ✓ Notification of intention to submit Thesis
- ✓ Thesis Examination Panel nominated and appointed (two external examiners)
- ✓ Thesis submitted
- ✓ Thesis presentation and oral examination conducted at OIST

Courses are assessed by means of written, practical, and/or oral tests, or by continuous assessment (attendance in classes, submission of assignments, etc.), or by any combination of these.

Promotion requirements [Document 3-1-4]

Qualifying for progression to Ph.D. thesis research
Before commencing Ph.D. thesis research, all OIST graduate students are evaluated by the Curriculum and Examination Committee to determine if they are qualified for Ph.D. thesis work. This process includes examination of the thesis proposal and the student's level of preparation and readiness to undertake research work described therein.

Thesis Committee
All students are 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 comprises the Thesis Supervisor (or cosupervisors if there is more than one supervisor), the Academic Mentor, and another faculty member selected by the Dean in consultation with the student and Thesis Supervisor.

Process for approval of Thesis Supervisor/s and Thesis Committee members
The student is responsible for nominating the Thesis Supervisor and may suggest names for the third Thesis Committee Member. The Academic Services Section provides guidance and assistance to students in relation to this process.
In consultation with the intended Ph.D. Thesis Supervisor, Academic Mentor and prospective other members of the Thesis Committee, the student completes the form for nominating Thesis Supervisors and Thesis Committee members and submits it along with the Thesis Proposal to the Dean of the Graduate School. If the proposed Thesis Supervisor is the same person as the Academic Mentor, a new Academic Mentor will be appointed by the Dean to avoid any conflict of interest.

The Thesis Proposal and Thesis Committee must be formally approved by the Dean of the Graduate School before the student commences thesis research.

Evaluation for progression to Ph.D. thesis research

The purpose of evaluating qualification for progression to Ph.D. 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 makes this evaluation taking into account the completed program of study and the student's performance in courses and Research Rotations at OIST, the thesis proposal itself, and the candidate's performance in an examination. The thesis proposal forms an important part of this 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 candidate 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 candidate, the Curriculum and Examinations committee consider the following materials:

- The student's Ph.D. Thesis proposal
- A report from the examining panel
- The student's academic record at OIST
- Write-ups of Research Rotations
- An endorsement of the thesis proposal from the proposed Thesis Supervisor, the student's Academic Mentor, and other members of the intended Thesis Committee
- Further material deemed relevant to the evaluation

According to the Curriculum and Examinations committee reaches one of the three decisions listed below and records the decision in the student's academic record. [Document 3-1-5]

- Passed: The candidate is advanced to candidacy. The committee may require additional course work or stipulate minor revisions to the thesis proposal.
- Deferred: 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 passed or failed. The committee stipulates a deadline for submission of a revised proposal and date of re-examination. If the candidate fails to resubmit by the deadline, the outcome will change to fail.
- Failed: 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.

Examination and defense of thesis proposal

The Curriculum and Examinations Committee appoints the External Examiner, taking into account nominations provided by the proposed Thesis Supervisor. The examining panel also includes an OIST faculty member familiar with the postgraduate courses taken by the student at OIST. A member of the Curriculum and Examinations committee nominated by the Dean of the Graudate School chairs the examining panel. The examining panel does not include the proposed Thesis Supervisor or student's Academic Mentor.

The examining panel conducts a three-hour oral examination that includes a defense of the thesis proposal. The examining panel includes an expert in the field of the proposed thesis and

external to OIST. Normally, the examination is conducted in person at OIST, but if this is not possible, the Dean of the Graduate School may permit electronic participation by audiovisual link.

Approximately half of the examination is an oral defense of the thesis proposal. The student is required to demonstrate the necessary advanced knowledge and understanding to undertake the proposed thesis research, and show their original and independent contribution to the proposal.

The other half of the examination covers fundamental knowledge in the field or fields of the proposed thesis research. The candidate should demonstrate fundamental knowledge of sufficient scope and depth to provide a secure foundation for the thesis research. The examining panel takes into account the recommendations of the proposed Thesis Supervisor concerning the scope and depth of the knowledge required, which is communicated to the examiner and student through the Curriculum and Examinations Committee before the examination. On the advice of the Committee, the oral examination may be supplemented by a written examination conducted before the oral examination.

Ph.D. Degree Completion

[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 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. [Document 3-1-6]

[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. The thesis must be formatted in chapters and submitted according to the OIST Guidelines on the Preparation of Theses (“Guidelines”) . [Document 3-1-7]

Candidates 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 may be included in an appendix of the thesis. In the absence of a published, archived or submitted article, the thesis should append at least one manuscript, drafted by the candidate, of publication quality and ready for journal submission.

[Final Examination]

A candidate is examined both on the written thesis and in an oral examination. The examination process is strictly confidential.

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

[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:

- 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.
- A Chair selected from the OIST faculty members with knowledge about OIST standards and regulations concerning Ph.D. thesis 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:

- Are involved in the research
- Have current collaborations with members of the thesis laboratory, or previous collaborations in the past 5 years.
- 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
- 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.

[Examination of the Written Thesis]
The two external examiners read the thesis, separately prepare a report and choose a recommendation regarding the acceptability of the thesis for a Ph.D. from the following. [Document 3-1-8]

i.) accept, and proceed to oral examination
ii.) accept, and proceed to oral examination (minor revisions required),
iii.) revise and resubmit (major revisions requiring reexamination of the written thesis before proceeding to oral defense),
iv.) consider for an MSc degree,
v.) Fail.

The Chair of the Thesis Examination Panel 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 either (i) or (ii) the process continues to the oral examination. If one or more examiner selects either (iii), (iv) or (v) the Chair convenes a meeting of the Thesis Examination Panel by teleconference to determine a recommendation, which is passed to the CEC along with the examiners' individual reports. The CEC then decides on the course of action from among the listed options (above). If any of the reports is not available prior to the oral examination,

the Chair convenes a meeting of the available members of the Thesis Examination Panel by teleconference to determine a course of action from among the listed options (above).

[Oral Examination]
The Thesis Examination Panel conducts the oral examination for up to three hours in private at OIST.

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 Thesis Supervisor and members of the Thesis Committee may attend the oral examination as observers but may not participate in the examination.

After the oral examination the Thesis Examination Panel confers privately to determine a recommendation from one of the following:

- Pass
- Pass with minor revisions
- Fail

The Chair will prepare a Report to be forwarded to the Dean of the Graduate School and endorsed by all members of the Thesis Examination Panel stating their recommendation chosen from the options listed above, and including relevant points of discussion that contributed to the decision. [Document 3-1-9]

In the case of a “Pass” outcome, the candidate is informed by the Dean of the Graduate School and must lodge the final version of the thesis with the Graduate School.

In the case of “Pass with minor revisions” 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 candidate of the required revisions. After the candidate 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 candidate is informed by the Dean of the Graduate School and must lodge the final version of the thesis with the Graduate School.

In the case of a "Fail" recommendation, the Report specifies the reasons for the outcome and is referred to the CEC. The CEC may decide to consider for an MSc degree or fail the candidate.
A candidate who has failed the thesis examination may lodge an appeal. The procedures for an appeal are separately stipulated.

[Conferment of degree]
After the Curriculum and Examinations Committee has determined that all academic requirements for the award of the degree have been satisfied, the student shall submit a bound copy of his or her thesis, with all required corrections completed, to the University library, together with an electronic copy for the University record.

On confirmation of receipt of the bound thesis, 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.

Once the Faculty Assembly has approved the recommendation, the minutes of the Faculty Assembly hold a record of the names of the candidates, the date, and title of the thesis. The Individual Student Record shall be updated with an entry on the next working day, 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 members of the Thesis Committee.

At the time when the individual Student Record is updated, the candidate is sent a letter confirming that the degree has been conferred and that the candidate may graduate at the next graduation ceremony or "in absentia". The degree certificate is presented by the President at the graduation ceremony.A student who chooses to graduate in absentia is provided with the degree certificate after the graduation ceremony.

When the President of the Graduate University has conferred a Doctoral degree, it shall be reported to the Minister of Education, Culture, Sports, Science and Technology, and the summary of the contents of the thesis and the summary of the results of the thesis examination shall be publicized on the internet within 3 months following the day of the conferment of the Doctoral degree. [Document 3-1-10]

(3) Measures for improvement or enhancement on 3-1 (the future plan)

The Curriculum and Examination Committee, with delegated authority from the Faculty Assembly, deals with matters related to the curriculum and individual student progress in the Ph.D. program including 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, thesis committee and examiners, and award of degrees. The committee meets monthly to deliberate on these matters and discuss issues identified in the current system, policies & procedures, as well as measures for improvement with support and recommendations from the Graduate School.

3-2 Educational curriculum and teaching methods
<<Perspectives for 3-2>>

- **3-2-(1) Development and dissemination of the Curriculum Policy**
- **3-2-(2) Consistency between the Curriculum Policy and Diploma Policy**
- **3-2-(3) Systematic organization of educational curriculum in accordance with the Curriculum Policy**
- **3-2-(4) Implementation of liberal arts education**
- **3-2-(5) Design and development of teaching methods and their effective implementation**

(1) Self-evaluation for 3-2

"OIST satisfies the Points Evaluated 3-2."

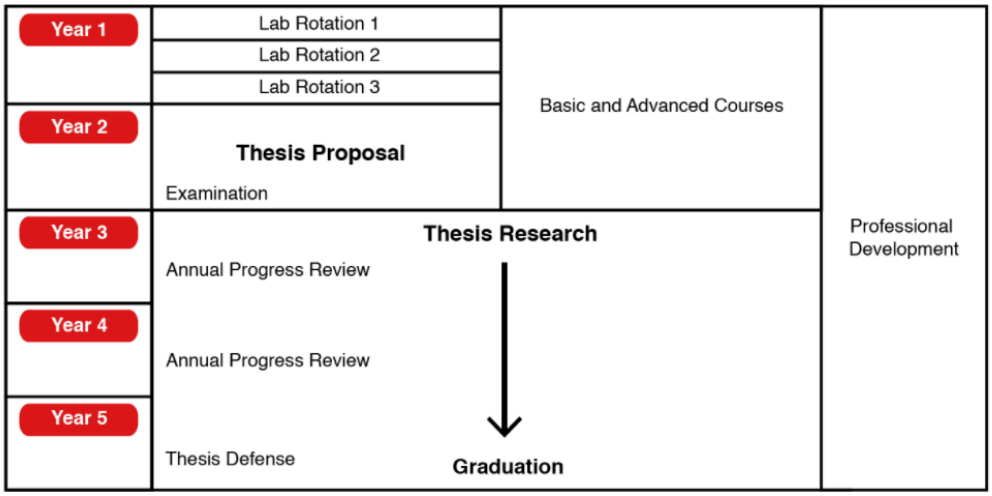
(2) Justification for self-evaluation for 3-2 (Fact-providing grounds for self-evaluation)

3-2-(1) Development and publication of the Curriculum Policy
3-2-(2) Consistency between the Curriculum Policy and Diploma Policy
3-2-(3) Systematic organization of educational curriculum in accordance with the Curriculum Policy
3-2-(4) Implementation of liberal arts education (Not applicable)
3-2-(5) Design and development of teaching methods and their effective implementation

OIST values include providing a secure foundation in the fundamentals of each student's field of study, with unparalleled opportunities for cross-disciplinary research. We take every student's aspiration and suitability into account in the design of each individual student's educational program. [Document 3-2-1]
At OIST, the Ph.D. degree is conferred in recognition of completion of original research that makes a significant contribution to scientific knowledge, not 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. Accordingly, our curriculum is designed to facilitate independent scientific thinking and to learn by doing research. 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. 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 designed in accordance with the diploma policy mentioned above.

Both Bachelors and Masters graduates enter the degree at the beginning of the first year of the program, and must undertake research rotations and courses in the first year. Students entering the program directly from undergraduate studies normally take about five years to complete their course of study. Those with a Master's degree can finish faster, in less than five years, as they have a lower credit requirement, and are more experienced and effective researchers. Figure 3-2-1 illustrates a simplified model of the educational program.

Figure 3-2-1. Ph.D. Program Structure



Credits and Course Work Requirements

The first two years of the integrated 5-year doctoral program comprise a combination of research and lecture 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 Basic and Advanced courses.

Students will be required to accrue at least 30 credits before graduation. Courses include Professional Development, Basic, Advanced, and Research Courses. The subtotal of the courses, including Professional Development, Basic, and Advanced courses, amounts to a value of 20 credits. Research courses include Research Rotations and a Thesis Proposal amounting to a total value of 10 credits. Up to 10 credits may be awarded for graduate courses completed at other universities prior to admission.

In general, Basic and Advanced courses are worth two credits. Independent Study and Special Topics are worth one credit for each module taken, and these courses may be taken multiple times. Each student is appointed an individual Academic Mentor who provides advice and recommendations of which courses to take, thus developing an individualized course of studies for each student.

Mandatory Courses

To maintain flexibility in the choice of courses in each individual program, the number of mandatory courses is limited. Apart from the laboratory courses (Research Laboratory Rotation and Thesis Proposal), students also receive mandatory training in professional skills essential to life as a scientist. Professional Development Courses I and II, each worth one credit, 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 research laboratories.

Professional Development I is a mandatory course that covers research ethics and responsibilities, scientific presentation and communications skills, grant writing, and cross-disciplinary group projects to develop the ability to manage projects and work across disciplines.

Professional Development II is a mandatory course that prepares the students to function effectively and responsibly in their scientific career. This is conducted as a series of seminars with visiting lecturers from business and government organizations involved in science and technology, experts in the applications and commercialization of science, and experienced laboratory leaders and science communicators. It covers material important for the future scientific career of the student and it is taught during the thesis research period when students have had more experience of research.

Research Rotations

Research Rotations form a major part of the student’s work in the first year of the graduate program. In each rotation, the student spends one term undertaking a specific project and then moves on to a different research unit in the following term.

The rotations provide a variety of experience in different laboratories that broaden the student’s understanding of different disciplines, techniques, and ways of thinking. The 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 typically complete three rotations before deciding on a thesis topic. Three research rotations are always required, with a total point value of 9 credits. A fourth rotation may be taken by students still unsure of their research topic after the first three rotations (no additional credit is awarded).

Students must select two research units from one group of units and one unit from the other group (grouped by broad discipline into Life Sciences and into Physical Sciences). This ensures that at least one rotation is taken from an area significantly out of the desired research field, to ensure experience is gained across scientific disciplines.

From the students' indication of their choice, the Graduate School assigns students to rotations based on availability of space, availability of supervision, and a consideration of the academic aims of the rotations.

Each rotation entails completion of a meaningful project. The Professor in charge of the host research unit works with the student to design the project, 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
iii. Make an oral presentation to the research unit members
iv. Submit a written report on the project

The rotations are evaluated by the Professor in charge of the research unit, and the student's report together with the evaluation is made available to the CEC. The student's progress and performance in each rotation may be discussed in the CEC to ensure cooperation among faculty members in facilitating individual student progress.

<u>Course Design Characteristics</u>

- Order of study (target year)

  As part of the orientation process, students must complete mandatory basic laboratory safety training before entry to laboratory areas is permitted.

  Then, during Year 1, students would normally take Basic Courses and complete three Research Rotations. Students may take Advanced Courses in Year 1 if they are sufficiently well prepared. In addition, students must also complete the Professional Development Course I (including essential training in laboratory record keeping, scientific communication, and research ethics, among other material).

  Students should complete at least three Research Rotations before proceeding to the Thesis Proposal. This helps the students decide the laboratory for their thesis research by providing knowledge and experiences in different laboratories.

  During Year 2, students complete preparations for thesis research work. Students would normally take Advanced Courses in Year 2 but additional Basic courses may be taken according to each student's needs. They are expected to complete their Thesis Proposal

in Year 2. This is examined by a panel of two experts: an internal and an external examiner (the internal examiner cannot be the supervisor or mentor of the student). The CEC will then review the reports of the panel, the student's academic record, and research progress, and determine if the student is permitted to progress to thesis research. This helps the students by ensuring that they do not commence their thesis research before they are ready.

The main focus of Years 3-5 is thesis research. In addition, the students are required to participate in Professional Development II, which they complete as a series of seminars conducted in parallel with their thesis research. The students may optionally participate in Workshop Courses as appropriate. When sufficient data for a thesis have been generated, the student writes up, submits, and defends the thesis in front of a panel of two external examiners.

The small class sizes at OIST allow for very personalized interaction between professors and students. This permits the professor to tailor the delivery of a course for each student, regardless of the level of background of each student. It is possible in such courses to use two levels of exercise and homework material, for example, or to include additional extension questions to push the more advanced students. In course evaluation, OIST professors may provide a written evaluation of each student's performance. In addition, professors provide a letter grade or pass/fail according to international standards of the field. For students studying out of field, professors may give an evaluation which is based on the progress of the student relative to his/her starting position.

In Research Rotations, students discuss the actual project they will undertake with the professor in detail at the start of term, allowing a project to be designed that is appropriate to the level of the student.

- The basis for the three-term per year system
  A three term per year schedule is used, with 15-16 weeks in each term. This schedule was chosen in order to give enough time for completion of a meaningful project in each Research Rotation in the first year.

- The academic year
  The school year begins in September, which is most common internationally. This facilitates the entry of international students to the graduate program. The school year is composed of three terms: First Term from September to December, Second Term from January to April, and Third Term from May to August. In addition to Japanese national holidays, there are breaks of two weeks between Terms when courses are not taught. Research work continues during these two-week course teaching breaks.

Optional Courses

Professional Development Courses include the following three optional courses, for which credits awarded cannot be counted in the completion requirement for the degree. These are taken before the student enrolls in the Ph.D. program, and provide additional vocational and language training to prepare students for graduate study in English at OIST.

Laboratory Experience is an optional course for students who have little or no previous experience of working in a research laboratory, to provide an introduction to operating basic laboratory equipment, reagent handling, measurement and analysis, and laboratory methods.

Some students have degrees in subjects without laboratory requirements (such as mathematics and computer science), and they are encouraged to take this course before commencing Ph.D. program enrollment.

English for Higher Education in Science and Technology is an optional course before commencing Ph.D. program enrollment for those students for whom English is a second language. A high level of proficiency in English is essential for students to succeed in the graduate program, because the interactive tutorial-style program requires the students to participate actively in discussions and debate in English during the courses, Research Rotations, and research guidance.

Essential Japanese for Foreign Researchers is an optional course for students from non-Japanese-speaking countries to be taken before commencing the Ph.D. program. This course aims to raise competence in Japanese language and culture sufficient for safe and effective work in a laboratory in Japan. It will also facilitate a career path in Japan for non-Japanese graduates.

The OIST academic program aims 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 interdisciplinary program without barriers between laboratories.

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. 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.

The Dean of the Graduate School assigns faculty members to be Course Coordinators, and determine which faculty members contribute to each course. The Course Coordinators are responsible for overseeing the content, teaching, and examination requirements of the course.

There are syllabuses for each and every courses, specifying the aim of the course, course details, number of credits, assessment, and materials to be used. All syllabuses are posted online for anyone to see. [Document 3-2-2]

(3) Measures for improvement or enhancement on 3-2 (the future plan)
OIST will work to improve the curriculum and the content of the courses in response to the increase of faculty members. The Curriculum and Examinations Committee oversees the curriculum and makes recommendations to the Dean of the Graduate School in order to optimize the opportunities for students with various backgrounds.
OIST will increase opportunities for OIST Ph.D. students to learn essential research skills by organizing short not-for-credit courses in identified topics (such as mathematics and computer programming), and special topics courses (for credit) by visiting researchers.

In addition, OIST will continue to use students' feedback/opinions obtained through the Student Council, as well as the results of the questionnaire survey, in order to enhance faculty members' teaching. Faculty retreats are held periodically to discuss educational matters. At these retreats the student educational representatives can present their opinions. Invited speakers from time to time give seminars on teaching methods and theory. Teaching evaluations (of professor's students) are used as part of the Tenure Review and Unit Research Review. The DGS convenes meetings of a Working Group for the Academic Program as necessary when new professors are appointed. These ad-hoc Working Groups include faculty of particular disciplines e.g., Physics, Chemistry, Neuroscience, and the meetings are open to faculty in other disciplines.

3-3 Inspecting and evaluating educational outcomes
<<Perspectives for 3-3>>
3-3-(1) Establishment and operation of methods for inspecting and evaluating educational outcomes in light of the Three Policies
3-3-(2) Feed-back on inspection and evaluation results of educational outcomes for improving educational contents, methods, and guidance

(1) Self-evaluation for 3-3

"OIST satisfies the Points Evaluated 3-3."

(2) Justification for self-evaluation for 3-3 (Fact-providing grounds for self-evaluation)
3-3-(1) Establishment and operation of methods for inspecting and evaluating educational outcomes in light of the Three Policies
3-3-(2) Feed-back on inspection and evaluation results of educational outcomes for improving educational contents, methods, and guidance

The Curriculum and Examination Committee (CEC) is the most important part of the oversight of academic achievement at OIST. This committee meets monthly to monitor academic progress of students at all stages of their program, to ensure consistent standards of examination by the appointment of suitably qualified external and internal examiners for thesis and proposal examination, and to advise the Dean on curriculum matters. [Document 3-3-1]

Students taking courses (in the first two years of the program) are evaluated by the professor in charge of the course at the end of each term, where the evaluation consists of both a letter grade and a text evaluation. By the end of the 2nd year, an evaluation to proceed to Ph.D. research is conducted by the CEC who review the student's academic record and the thesis proposal to determine if the student is ready to go forward with the Ph.D. research. The review by this independent committee is important for ensuring consistent academic standards across all graduate students at OIST. [Document 3-3-2]

Students who are in the thesis research phase of the degree (3-5 years) are required to formally report on their research progress to their Thesis Committee (Academic Mentor, Supervisor, and any Co-supervisor) at least once per year. Cases of poor research progress are reported to the CEC for their consideration of necessary actions.

For the first intake of 34 students, OIST has awarded Ph.D. to 7 students and MSc to 1 student. Excluding 3 students that have discontinued, all of remaining 23 students are expected to proceed to the final examination along with their research plans, and majority are expected to graduate with Ph.D.

Of the 7 who have already graduated with Ph.D., 4 are going to tier one universities/research labs for academic careers (Harvard, Tokyo, Johns Hopkins, and Lawrence Berkeley National Laboratory). Another 2 are considering industry positions in their home region, and 1 is considering an entrepreneurial start-up in Okinawa. These outcomes match our anticipated career outcomes and proportions.

The first class of OIST Ph.D. students have just started to graduate and the Graduate School sent out a simple online registration form to the first group of graduates, asking them to inform us of their whereabouts and their employer. [Document 3-3-3]

Students are required to evaluate the delivery of the courses they have taken at the end of each term. This information is provided to the individual faculty to enable course improvements in response to actual need, and is also used by the Graduate School to ensure consistency in teaching and teaching support across the School. [Document 3-3-4]

The Graduate School, and separately, the Student body (through the Student Council) conduct surveys on student satisfaction for enrolled students. As elected representatives of the student body, the Student Council has regular monthly meetings with Dean to share information about student views on teaching and student support, among other issues.

(3) Measures for improvement or enhancement on 3-3 (the future plan)
The Graduate School will continue to monitor the progress through feedback from students, dashboards and analysis, which will be provided to the CEC, Faculty Assembly, and BOG, where improvement plans will be discussed and approved for implementation. In addition, surveys will be conducted with graduating students as well as alumni to capture employment details, through which OIST will be able to measure the achievement of our educational objective of training researchers who will play important roles in the international scientific community.

[Self-Evaluation for Standard 3]
Accrediting, graduation certification, and completion certification
Since the accreditation of the University in 2011, all faculty have been individually accredited by MEXT. Graduation requirements have been established and published in the University's Policy Library. The Curriculum Policy is developed by the Faculty Assembly and the Curriculum and Examinations Committee. At all stages of the Ph.D. program from admission to graduation, high international standards are applied by the use of external examiners who are expert in the fields of research. Student progress is monitored closely and students must pass an examination for progression to thesis research and a final examination. The standards, including credit requirements, selection of examiners, and responding to examiners' reports, are strictly applied with oversight from the Curriculum and Examinations Committee with final approval of the Faculty Assembly for graduation.

Educational curriculum and teaching methods
The educational curriculum is securely based on the principle of providing a secure foundation in the fundamentals of each student's field of study, with unparalleled

opportunities for cross-disciplinary research. In keeping with the aim to graduate people capable of independent scientific achievement, we take a student's aspirations and abilities into account in the design of each student's educational program. Also consistent with the aims of the program, the Ph.D. degree is conferred in recognition of completion of original research that makes a significant contribution to scientific knowledge, not 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 curriculum design achieves the goals of facilitating independent scientific thinking and learning by doing research.

The educational outcomes of the program are continually monitored by the Curriculum and Examinations Committee, and the attention of individual Academic Mentors to their student's progress. Grades of students are reported to the Academic Mentors and available to supervisors and intending supervisors. These measures ensure early detection of any student having difficulty with the courses.

Feedback on educational outcomes occurs at many levels. Formal surveys are conducted of each class. In additional, students are encouraged to give feedback via the student assembly and student council. There are student representatives on the faculty assembly. At Faculty Retreats, input from students is included in discussions of educational contents, methods and guidance. In addition, meetings of Ad-Hoc Working Groups for the curriculum are held from time to time. These are focused on specific disciplines (e.g. Physics, Cell Biology, Chemistry, and Neuroscience). These processes have led to constant improvement in educational contents, methods, and guidance.

Therefore, we conclude that OIST satisfies the Standard 3. "Educational Curriculum."

Standard 4. Faculty and Staff

4-1 Functionality of the academic management
<<Perspectives for 4-1>>
4-1-(1) Establishment and demonstration of appropriate leadership of the president in university decision-making and academic management
4-1-(2) Establishment of academic management with appropriate distribution of authority and clarification of responsibilities
4-1-(3) Functionality of academic management through staff positioning and clarification of roles

(1) Self-evaluation for 4-1

"OIST satisfies the Points Evaluated 4-1."

(2) Justification for self-evaluation for 4-1 (Fact-providing grounds for self-evaluation)
4-1-(1) Establishment and demonstration of appropriate leadership of the president in university decision-making and academic management
4-1-(2) Establishment of academic management with appropriate distribution of authority and clarification of responsibilities
4-1-(3) Functionality of academic management through staff positioning and clarification of roles

Establishment of an effective system for the execution of operations is the responsibility of the President and CEO as described in PRP2.4.1. The PRP2.4.1 also stipulates that "the management structure must also ensue administrative and fiscal accountability and provide transparent oversight regarding use of government and private funds." As the University continues to grow and develop, the management structure has evolved over the years, and arrived at the current structure. Realignments of functions between the sections within a division happen as needed with the approval of the Executives.

The executive management team consists of; President/CEO, COO (Chief Operating Officer), Executive Vice President/Vice-CEO, Auditor, General Counsel, 5 Vice Presidents, 1 CIO/Vice President and 3 Deans.

Table 4-1-1Positions, Roles and Responsibilities of the executive members

Position	Roles and Responsibilities
President/CEO	• 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.

COO	• oversee and coordinate most university non-academic operations, including facilities, information technology, finance, investments, human resources and government, etc. This task will be accomplished by working in effective partnership with the other executives. The COO reports directly to the President.
Executive Vice President for Technology Development and Innovation/Vice CEO	• Vice CEO: 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 • EVP: administer the functions that support the University mission to further the self-sustainable development of Okinawa.
Auditors	• 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.
General Counsel	• provide legal opinions and advice in regard to the administration and operation of the University and represents the University in legal matters concerning external entities.
Vice President for Financial Management	• 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.
Vice President for Buildings and Facilities Management	• 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.
Vice President for Communication and Public Relations	• 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.
Vice President for Gender Equality and Human Resource Development	• is responsible for the development, implementation, monitoring and review of all gender equality initiatives. • is responsible for overall management of the human resources, including planning, developing and implementing effective HR services to enhance productivity of the diverse workforce and to improve work-life balance at OIST. Child Development Center is managed by the GEHR Division.
Dean of Research/Provost	• as a provost, is responsible for smooth communication and cooperation among the deans. • is responsible for the direct research funding (subsidy, grant, donor and other) and research facilities (lab space included) that is administered by the individual research units and other research entities. • is responsible for all the support functions that enable research, such as scientific computing, research safety and compliance,

	common research facilities, etc.
Dean of Faculty Affairs	• is responsible for administration of general matters concerning the faculty including: - Faculty appointments and promotions; Faculty salary setting; leaves of absence and sabbaticals; appeals, - administration of the review of the Research Units, administrative support for the operation of the Faculty Assembly and the Faculty Council, management of Faculty database, - administration of Faculty Handbook, and - communication with other University offices and committees to facilitate effective communication and to develop new policies.
Dean of Graduate School	• is responsible for providing services and programs that support the full cycle of attending the Graduate School at OIST Graduate University, including: - all elements of planning and support that start with admission and end with graduation and the initial post-graduate placement, - all aspects of the graduate school curriculum including the assignment of faculty to teach the graduate courses.
Chief Information Officer (CIO) and Vice President for Information Technology	• CIO: develop and maintain the University information and cyber security program • VP for Information Technology: is responsible to develop and maintain the IT infrastructure and services necessary to operate the university's education, research and administration functions.

Under the leadership of the President, executive meeting that functions by preparing major decisions of the university holds bi-weekly meetings and facilitates information sharing among division heads and organizational decision making. With the attendance of the Faculty Assembly representative, the meetings also discuss important issues regarding education and research at the University.

In terms of staff assignment, highest priority is to hire the best and brightest faculty members and provide sufficient human resources to support their research and education activities. The 10-year goal of the University outlined in the "Framework Document II 2014" is to increase the number of faculty unit to 100 by 2023. Using this goal as a guidance, the PEREX Budget Subcommittee (PBSC), a subcommittee of the Resource Allocation Committee, coordinates the personnel budget request for the next fiscal year and allocates the approved personnel budget/positions at the beginning of the fiscal year. Adjustments to the personnel allocation and assignments are considered throughout the year. The PBSC makes recommendations but a decision is agreed to by the Executives. This process provides a transparent, fair and thoughtful mechanism to assign limited personnel especially among the administrative staff.

The Faculty 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 management 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 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, such as the Common Resources Advisory Committee, Animal Care and Use Committee, Human Subjects Research Review Committee, and Biosafety Committee.

These functions are services to the University management; the President, Executive Vice President for Technology Development and Innovation, Dean of the Graduate School, Dean for Faculty Affairs, and Dean of Research make appointments to these committees.

The Council is the elected executive body of the Assembly, and its role is to provide advice to the President on academic and administrative matters. The agenda is set by the Chair of the Council, but the President, Executive Vice President for Technology Development and Innovation, Dean of the Graduate School, Dean for Faculty Affairs, and Dean of Research should always be consulted and be invited to the meeting. Other members of the administration can be invited as need be. These meetings are critical for the healthy operation of the institution and provide a venue at which the trust and cooperation between administration and faculty can be established and maintained.

To achieve our mission and objective as stipulated in PRP2.5, each member in OIST's upper management, the President, the Executive Vice President, the COO, the Dean of Graduate School, the Dean for Faculty Affairs, Dean of Research, Buildings and Facilities Management, Financial Management, Communication and Public Relations, Gender Equality and Human Resource Development, Information Technology administers sections below. With this appropriate administrative structure in place, OIST effectively operates its business [Document 4-1-1].
Each division is organized as the following Table 4-1-2.

Table 4-1-2. Division organization **(As of May 1, 2018)**

Division	Number of employees	Section, etc.
President Office	15	Office of the President, Office of General Counsel, Ganjuu Well-being
COO Office	12	General Safety and Health Manager (dual), Rules and Procedures Section, Governmental Relations Section, Compliance Section
Technology Development and Innovation Center	19	Office of the EVP, Business Development Section, Technology Licensing Section, R&D Cluster Programs Section
Faculty Affairs Office	13	Dean's Research Group, Library Section, Academic Development Section
Graduate School Dean's Office	23	Academic Services Section, Student Support Section, Academic Career Development Section
Research Support Office	78	Animal Resources, DNA Sequencing, Imaging, Instrumental Analysis, Mechanical Engineering & Microfabrication Support, Okinawa Marine Science Support, Scientific Computing & Data Analysis, Grants &

		Research Collaboration, Occupational Health & Safety, the Health Center, the Clinic
Financial Management and Business Development	44	Financial Management, Budget, Accounting, Procurement & Supplies
Buildings and Facilities Management	34	Campus Building, Facility Management, Facilities Operation & Use, Office of the VP/BFM (includes Contract & Budget Support team)
Communication and Public Relations	21	Conference and Workshop Section, Community Relations Section, Media Section, and Language Section
Gender Equality and Human Resource Development Division	56	HR Management Section, Diversity & Welfare Section (includes the Child Development Center and the Resource Center), Recruiting & Relocation Section, and HR Development Section
Information Technology	25	IT Services & Support, Network & Connectivity, Infrastructure, Enterprise Applications Services
Auditor's Office	1	

All OIST Graduate University employees, regardless of Job Type or Job Class are responsible for protecting and enhancing the wellbeing of the University community. The University accomplishes this by setting the University Code of Conduct that guide how we conduct ourselves as employees, students, and members of the University community.【Evidence 4-1-2】

OIST aims to conduct internationally outstanding education and research in science and technology. At OIST, research and education are conducted in English, and more than half of the faculty and students are non-Japanese representing more than 50 nationalities around the world. Under such international environment, administrative staff capable of supporting faculty, researchers and students who conduct internationally outstanding education and research are recruited with the expectation that they all contribute toward the OIST missions: 1) to contribute to the promotion and self-sustaining development of Okinawa; and 2) to promote and sustain the advancement of science and technology in Japan and throughout the world.

OIST believes that diversity, in its broader sense, is an essential element of a world-class university. Because OIST faculty, researchers, students, administrative staff come from over 50 countries, the OIST community is diverse in terms of culture, nationality, religion, ethnicity, language, and the like. One area that lacks balance is gender. Therefore, gender equality is a major focus of OIST's effort to create a diverse and inclusive community.

The ultimate goal is to establish an institutional environment where all member can realize their full potential, while maintain an appropriate work-life balance. To that end, OIST has put in place the various measures to promote gender equality designed to minimize barriers as well as to create a family-friendly workplace, including:

- Child Development Center – provides quality nursery care, bi-lingual early childhood education, after-school and holiday programs.
- Professional travel support – OIST provides partial support for travel for the child or at-home child care for child-rearing employees who must travel to present their work at professional meetings
- Stop-the-clock Policy – tenure track faculty may request an extension of their tenure review clock by one year to accommodate parental responsibilities relating to the birth, adoption of a child or rearing of a baby
- Changing tables – available throughout campus for parents of infants
- Mother's room – provides privacy for breast feeding and extraction of milk
- Professional travel support – OIST provides partial support for travel for the child or at-home child care for child-rearing employees who must travel to present their work at professional meetings
- Stop-the-clock Policy – tenure track faculty may request an extension of their tenure review clock by one year to accommodate parental responsibilities relating to the birth, adoption of a child or rearing of a baby
- Dual-career couple – considerations are given to accommodate dual-career couples wherever possible (e.g., Science and Technology Group)
- Faculty search committee – procedures are in place to proactively promote gender equality throughout the search process (e.g., appointment of the diversity officer, Unconscious bias training for search committee members)

(3) Measures for improvement or enhancement on 4-1 (the future plan)
The BOG, which consists mainly of non-executive members based on the OIST SC Act and the OIST Bylaws unlike the case of most Japanese traditional institutions, takes ultimate responsibility for operation of the OIST SC and OIST Graduate University. The BOC reviews the operations of the corporation with broad views of the society, including those of the local community. These two boards play key roles together in ensuring effective and transparent governance of the OIST SC in accordance with pertinent Japanese laws and the OIST SC Bylaws. The CEO/President provides the leadership in the execution of the Business Plan and accountable to the BOG and the BOC. OIST SC will continue to uphold its distinctive governance by maintaining appropriate relationship between these boards and the CEO/President. Auditors of the OIST SC will continue to conduct rigorous audits to ensure appropriateness and efficiency of the operations of the corporation.

4-2 Teacher assignment and faculty development
<<Perspectives for 4-2>>
4-2-(1) Securing and positioning faculty members through their appointment and promotion in accordance with educational objectives and curriculum
4-2-(2) Development and improvement of educational contents and methods including FD (faculty development), as well as their effective implementation

(1) Self-evaluation for 4-2

"OIST satisfies the Points Evaluated 4-2."

(2) Justification for self-evaluation for 4-2 (Fact-providing grounds for self-evaluation)
4-2-(1) Securing and positioning faculty members through their appointment and promotion in accordance with educational objectives and curriculum
4-2-(2) Development and improvement of educational contents and methods including FD (faculty development), as well as their effective implementation

Basic concept and features of faculty composition

OIST works toward best in the world status by appointing outstanding faculty members. The aim of being international is 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. All faculty members teach in English.

The level of excellence that OIST expects to attain can only be accomplished by interdisciplinary and collaborative approaches. To achieve our aspirations, OIST faculty conduct research in fields ranging from physics and chemistry to genomics, cell biology, neurobiology, and ecology.

Faculty is expected to maintain a program of excellent research and publication, to participate in the teaching program of OIST, to supervise graduate research projects, and to assume appropriate responsibilities in the OIST academic community. The full-time faculty is composed of Professors, Associate Professors and Assistant Professors, listed in order of seniority, following the international system of three ranks of professor.

In addition to the full-time faculty members, the total teaching staff includes adjunct and visiting faculty members, who are outstanding, internationally renowned researchers able to make an important contribution to courses and research. The overall ratio of the total teaching staff, including full-time, adjunct, and visiting faculty members, to students is planned to reach 1:3 in the future. [Document 4-2-1]

Faculty assignment

The Dean of the graduate school assigns faculty members to be Course Coordinators, and determine which faculty members contribute to each course. Course Coordinators are expected to have a deep knowledge of the area covered by the course syllabus of the courses they are responsible for overseeing the content, teaching, and examination requirements of the course. More than one faculty member may teach a course, and adjunct faculty members may contribute parts of a course.

Distribution of the Faculty

OIST recruiting policies aims for a balance in the age distribution of the university faculty. This ensures that both young researchers with future potential and more established researchers with experience are represented among the faculty. OIST is an affirmative action employer, opening its door broadly to candidates without regard to gender, age, race, or national origin. [Document 4-2-1]

Research Unit (faculty research system)

The Research Unit is the administrative entity for managing faculty research at OIST. All full-time faculty members including Assistant Professors are independent heads of Research Units. The non-hierarchical organization of the faculty and the absence of departmental structure encourage interaction between Research Units and sharing of space, equipment, and expertise, which promotes interdisciplinary research activities.

Research Units may appoint Staff Scientists, Postdoctoral Scholars, Research Specialists, Technicians, or Research Assistants as fixed-term employees. Administrative personnel are appointed according to the administrative needs of the Research Unis. [Document 4-2-2]

OIST regulations on Recruitment, appointment, promotion, evaluation and retirement are as follows. [Document 4-2-3]

Faculty Recruitment, appointment, etc.

It is intended that our faculty recruitment and appointment conform to similar ranks in the American system to allow simpler transfer of personnel from other universities and research institutions, and to maintain world-class standards of Faculty teaching and research. Faculty is engaged in education and research as head of a Research Unit, having independent resources. They are recruited through open competition and strict review.

- Criteria for hiring: 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 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. In order to objectively evaluate applications, we ask internationally renowned researchers to write assessment letters about the candidates. The majority of these external reviewers should neither be close collaborators of the candidate nor have served as mentors of the candidate.
- Search Process: The Search Committee facilitates short-listing of candidates, interviews and analysis of assessment letter from external reviewers. The Committee’s selection of candidates will be reviewed during the closed meetings by our faculty members. After that, the Committee’s final recommendation will be reviewed by the President and be sent to the BOG for final approval before offering positons to the candidates.
- Advertisement: Our faculty recruitment advertisement is placed in prestigious academic journals (both domestic and international) as well as in popular scientific websites. In FY2016, we participated in annual international conference to promote PR activity. We conducted Open Searches in FY2015 and FY2016. This is an approach to search faculty candidates without specifying research areas we will hire. In FY2015 and FY2016, about 1500 people applied, 49 were interviewed, and 15 were offered the positions.

There is a tenure track system of Faculty. All promotions and renewals are based on advice from an external review committee. Tenure carries with it a guarantee of employment until retirement. However, it does not guarantee continuous internal research support; tenured faculty competes along with non-tenured members of Faculty for their internal research funding on a roughly 5-year cycle.

Faculty evaluation

Faculty evaluation includes Promotion Review, Tenure Review, and Research Unit Review. These reviews are carried out by non-standing Evaluation Committees using high level of standards and consistent criteria. This includes assessment letters from external reviewers for an objective evaluation process. The majority of these external reviewers should neither be close collaborators of the candidate nor have served as mentors of the candidates. All the reviews that involves tenure appointment require approval from the President and the Board of Governors.

There are three reviews conducted as part of faculty evaluation. A summary of each review is as below:

- Research Unit Review: Research Units led by Professor, tenured Associate Professor, and Adjunct Professor are reviewed roughly every 5 years by External Review Committee composed of external eminent scientists. Based on review results, budgets of research units are allocated.
  Using strict review criteria, a committee comprised of internationally eminent scientists outside of OIST, make assessment on the research results, the use of resources provided, and the future research plans and budget plans of a research unit. They also make comments on the quality of the research staff (postdoctoral scholars, staff scientists, research specialists, research technicians and graduate students) as well as training and mentoring offered by the unit. FY2016, three of our Associate Professors underwent research unit reviews, and as a result, they were promoted to Professor after similar international review and endorsement by the Board.

- Tenure Review: Assistant Professors are reviewed in the 6th year, after which they may be awarded tenure, and is promoted to tenured Associate Professor if successful. In case of a negative review result, the contract will be terminated at the end of the term. Under special circumstance, he/she may be appointed as Associate Professor without tenure. Untenured Associate Professor are reviewed in the 4th year, after which they may be awarded tenure in case of a positive review result. If further recommended, there is a possibility to be promoted to Professor. In case of a negative review result, the contract will be terminated at the end of the term.
  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 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. One of the other factors to be considered is service to the University.

- Promotion Review: Tenured Associate Professor will be reviewed for promotion to Professor in the 4th year after appointment. In case of a failure to be promoted, it would mean that no promotion review could take place for at least three years.
  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 appointment level. 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. Third criterion is supporting the University in its widest sense through committees and other service work, and the international scientific community.

Tenure Review and Promotion Review are conducted according criterion for scholarship and research based on an objective evaluation of letters of external reviewers, and teaching record and university service record at OIST.

Strategies to maintain and improve the quality of teaching staff

OIST must maintain and improve the quality of its faculty in order to provide an outstanding education and to meet the different educational needs of each student. Specifically, the following strategies are conducted.

- The Deans of Faculty Affairs and the Graduate School create, maintains and distributes guidelines for quality teaching to ensure that best-practice teaching standards are observed at OIST. [Document 4-2-4]
- Students evaluate each course with a questionnaire at the end of the course. The student responses are distributed to the instructors and students. Also, the results of the questionnaire are reported to the Dean of the Graduate School. [Document 4-2-5]
- Faculty members support the development of their colleagues by participating as classroom observers, with the agreement of the instructor. The date of such observation is reported to each faculty member through the Dean of the Graduate School's office. The observers discuss their observations with the instructor in a collegial and supportive manner. [Document 4-2-6]
- A mentoring is 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 includes junior and senior faculty members to facilitate the transfer of knowledge and skills relating to supervision of research. [Document 4-2-7]
- The Deans of Faculty Affairs and the Graduate School, arrange training sessions, and workshops for faculty development from suitably qualified facilitators, in order to enhance the teaching ability of faculty members. Every year, OIST invites experts who give workshops and seminars to enhance Faculty Development. Seminar topics are very varied, from research mentoring, grant application, collaboration between academia and industry, to the gender equality. [Document 4-2-8]
- In collaboration with other sections at OIST, we also organize workshops and seminars utilizing our internal resources. For instance, we regularly provide seminars on research ethics and research safety both in English and Japanese. Our Human Resource Section also provides seminars on annual goal-setting and performance evaluation for both researchers and administrators. [Document 4-2-9]

(3) Measures for improvement or enhancement on 4-2 (the future plan)

<u>Advise on future direction of OIST</u>

In October 2017, a Perspective Council, comprised of six internationally renowned scientists, met in OIST to discuss and advise us on how to grow the faculty to 100 in the next 5 years. They discussed not only on fields of rapid growth but in strategies to find and keep the leaders in those fields. They made recommendations to add another stream of recruitment aimed at acquiring whole teams in a particular research area while continuing to expand the present groupings. They emphasized the importance of including administrative and support staff in research decisions so that they felt included in the Faculty vision for the Institute.

<u>Senior Manager for Academic Development</u>

There are plans to increase the staff involved in the development of managerial skills and teaching for OIST faculty members and researchers. To realize this, we are in the process of hiring a Senior Manager for Academic Development who will work with the Dean of Faculty Affairs to enhance faculty development.

<u>A mentoring system for junior faculty members</u>

We will enhance a mentoring system in which junior faculty members develop their educational and research knowledge and skills in support of more experienced faculty members. The Tenure-track faculty will undertake Tenure Review in the 6th year. At the end

of the 3rd year, they will work with their mentor(s) and APC (Appointment and Promotion Committee) members comprised of seven tenured faculty members to check the progress status and issues related to Tenure Review and provide the status report to the Dean of Faculty Affairs.

4-3 Staff training
<<Perspectives for 4-3>>
4-3-(1) Provision of opportunities for the cultivating qualities and abilities of the staff, including SD (Staff Development)

(1) Self-evaluation for 4-3

"OIST satisfies the Points Evaluated 4-3"

(2) Justification for self-evaluation for 4-3 (Fact-providing grounds for self-evaluation)
4-3-(1) Provision of opportunities for the cultivating qualities and abilities of the staff, including SD (Staff Development)

OIST provides a large number of training opportunities to its staff. Some are on the basic knowledge required of all staff to work at OIST; others are designed to learn specific knowledge or skills to improve performance in their current roles; and yet others focus on the future professional development of staff.

In fiscal year 2017, the GEHR initiated two new initiatives: 1. Faculty Development; and 2. Management Institute. Need for these programs were identified through discussions among executives at the leadership retreat.

Faculty Development program is designed to provide basic training necessary for a faculty to manage people, budget and equipment in his/her research unit. Some module covers the fundamental principles of management and others will cover practical techniques and tools to build a successful research unit. 【Document 4-3-1】

The Management Institute is an in-house learning center for managers to learn skills and knowledge needed to develop and lead a successful organization that can deliver work products efficiently and effectively. It consists of the online learning augmented by in person facilitated discussions for the purpose of reinforcing and customizing the online module content to OIST, implementation planning for knowledge transfer to the workplace, and presentation to management colleagues and their respective executives. 【Document 4-3-2】

The Gender Equality and Human Resource Development Division is responsible to oversee and coordinate learning opportunities for the OIST staff and serves as the place where employees can obtain information on the raining programs offered at OIST.

A directory of all of the training courses and programs can be found in one place at the training home page.

<u>Training programs organized and/or conducted regularly</u>

- New Employees Orientation (required of all new employees)

- Performance Evaluation Process: Objective management training to set performance goals at the beginning of terms, and performance assessment training to rate employee performance at the end of terms
- Microsoft Office Suite at different levels
- HEART system (OIST Financial and HR System) in collaboration with the Information Technology Division
- Sexual harassment prevention training and power harassment prevention training (required of all employees)
- Unconscious bias awareness training for faculty search committee members
- Information Session for Supervisors
- Health Check Program (with Health Center)

Training programs organized and/or conducted on an ad hoc basis

- Effective communications for supervisors
- Managing employees returning from the maternity leave
- Professional development for female researchers
- Japanese laws on controlled substances and alcohol (with the General Counsel's Office)
- Information session on the benefits and social insurance

Training programs on Research Safety

- General Orientation on Health and Safety (Required of all employees)
- Health and Safety Update Session - General (Required of all employees)
- Responsible Conduct of Research (Required of all employees)
- Security Export Control (Required of all employees)
- Waste Management (required of all employees)
- Special Orientation on Health and Safety for people who work in wet labs
- Health and Safety Update Session for people who work in web labs
- Principles and Basic Knowledge for the Safe Conduct of Experiments for people who work in wet labs

Other training programs

- Training for Preventing Misuse of Public Funds (Required of all employees)
- Cultural Intelligence
- Mindfulness for Wellbeing and Peak Performance
- Basic Life Support (Required at least one per section)
- English Language courses
- Japanese Language courses
- Entrepreneurial Training Program

The GEHR has also compiled a long list of outside vendors who provide specialized training programs and help identify appropriate program in response to individual requests.

Office of the Dean of Faculty Affairs

A dedicated training staff, "Postdoctoral Career Development Coordinator" plans, organizes and/or conducts training necessary for postdoctoral scholars and research staff to prepare for an independent career after leaving OIST.

As part of the annual performance evaluation, self-development is evaluated. In terms of required training, the HR's training and education section keeps track of employee's completion of the training program and report to their supervisors. The rate of participation by division is reported at the Executive Committee and the executives are urged to ensure 100% completion rate. Failure to complete the required training courses is taken into consideration in the annural performance evaluation.
At the beginning of the annual performance evaluation cycle, all administrative employees prepare an annual performance goal and one of the goals is the individual development plan. Once the goal is set, its progress is discussed betweene the supervisor and the employee throughout the year. As a result of these interim discussions, the goal or approach might be adjusted before the end of the year. 【Document 4-3-3】

(3) Measures for improvement or enhancement on 4-3 (the future plan)
Based on the needs of OIST staff and requests from managers and staff members, OIST will continue to provide training for staff and managers focusing on the requirements of all staff levels. Also, surveys and interviews will be used to determine changing training needs as OIST continues to grow and expand.

4-4 Research support
<<Perspectives for 4-4>>
4-4-(1) Development, appropriate operation, and management of the research environment
4-4-(2) Establishment and strict application of research ethics
4-4-(3) Resource allocation for research activities

(1) Self-evaluation for 4-4

"OIST satisfies the Points Evaluated 4-4"

(2) Justification for self-evaluation for 4-4 (Fact-providing grounds for self-evaluation)
4-4-(1) Development, appropriate operation, and management of the research environment
4-4-(2) Establishment and strict application of research ethics
4-4-(3) Resource allocation for research activities

For development of research environment, OIST has established the following research support structures and staffed them. Research Support Division administers 7 technical sections and 2 administrative sections and contributes to research and education by providing excellent core research facilities and research support services to OIST researchers and students.
The technical sections manages maintenance and operational trainings of common equipment and facilities and fair access to them, provides consultation on experiment design/method, selection of equipment, data acquisition and analysis. The administrative sections provide support for other research support activities such as grant applications, research collaborations, and research safety. [Document 4-4-1]

- Animal Resources Section
- DNA Sequencing Section
- Marine Science Support Section
- Imaging Section
- Instrumental Analysis Section

- Mechanical Engineering & Microfabrication Support Section
- Scientific Computing & Data Analysis Section
- Occupational Health and Safety Section
- Grants and Research Collaborations Section

OIST runs state-of-the-art research support sections. Each is staffed by technical experts, with a total of 62 in the nine sections. Use of these resources is in general free to OIST research staff, students and their collaborators. Support section staff members offer all necessary training to researchers and students. Each section runs a users' group or groups, open to all interested staff and students, which meet regularly to discuss operational matters and strategic developments. Every year OIST upgrades its equipment in the common facilities, these purchases are prioritized by the users' groups. In December 2017 OIST held a joint meeting with Institute of Science and Technology, Austria and the Weizmann Institute, Israel to discuss various aspects of university management including research facilities. During FY2018, we will benchmark our research support section staff, equipment and costs against the facilities at these two leading graduate universities.
OIST research support sections are undergoing a cycle of international peer review. During FY2016-2017 review panels have been held for SCDA, SQC and marine science including OMSSS. At the cases of the SCDA and OMSSS, the panel members met with users face to face and reflected the findings into their report. As part of the SQC review, surveys of research staff and students have been undertaken. [Document 4-4-2]

During FY2018 we will undertake international peer review, including user surveys, of two further research support sections.
Following the SCDA review, we have established mechanisms that discourage "individual unit clusters" and promote the use of central funding clusters and planned the expansion of compute and storage resources in proportion to increase in researcher numbers. .
The SQC review, in response to the user survey, we have improved our communication on updates on new instruments and services at the users group meeting.

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 such as Recombinant DNA are required to be reviewed by the relevant Advisory Committee 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. In addition, we have developed a data and reagent archive policy (attach). This will ensure that datasets underlying all OIST published research will be archived so that any future issues in research integrity can be appropriately investigated.

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. [Document 4-4-3] [Document 4-4-4] [Document 4-4-5]

OIST is exceptional among Japanese universities, and indeed internationally, as it offers support for research to each faculty member. When Professors join OIST they are provided with a start-up package including research staff (post-doctoral researchers and technical staff), a bilingual administrator, appropriate operational budget for their discipline, and necessary start-up equipment and space. As explained above, the research staff and students have free access to the research support facilities. Each faculty member is reviewed every 5 year by an international peer review committee visit. The committee are supplied with financial and research information and a new financial and research plan. Following this peer review the budget for the faculty member for the following 5 years is set. As part of the budget allocation each faculty member receives a travel budget, allowing the research staff and students to attend international meetings and visit other research centers. This budget can also be used to host visiting collaborators at OIST.

OIST employs a team of six in the Grants and Research Collaborations Section. In FY16 they initiated a program to enhance our Kakenhi grant applications and awards. This involved the employment of an external company to discuss feedback from previous applications and the format of new applications with all applicants. They also invited senior Japanese academics from within and outside OIST to discuss proposals with the applicants. This resulted in a significant increase in the number of successful applications. A similar program has been deployed in FY17.

The Grants section has also hosted a number of workshops, for example on PRESTO funding and AMED initiatives. Again, these have resulted in awards, two in the PRESTO Program and a significant award from AMED to support our cryo-TEM facility. [Document 4-4-6] [Document 4-4-7]

(3) Measures for improvement or enhancement on 4-4 (the future plan)

The support for marine science will be further developed to allow OIST researchers, and also visiting scientists, to work in the unique environment of Okinawa. For terrestrial ecology, we will establish a further support section by running the existing OKEON field observation site network as a core resource. This measure was recommended by an international review panel for OKEON. We will continue the cycle of international peer reviews of the other research support sections. The Grants section will continue their support for individuals applying for research grants and will also lead at least one large, university wide application.

[Self-Evaluation for Standard 4]

To realize the vision in the Framework Document II (mid-term plan), developed in accordance with OIST's mission and objective, OIST has established the proper governance structure under the leadership of the CEO/President, with close and successful communication with the BOG. Since the inauguration of the University, we have revised, in a timely manner, the business organization and segregation of duties in response to the growth of the university and educational and research needs.

Most notably, we have launched the “Technology Development and Innovation Center” under the Executive Vice President in FY2016 for the promotion of self-sustainable development of Okinawa in the effort to further the “contribution to the self-sustainable development of Okinawa,” which is one of our ultimate mission and objectives.

With the University growing at breakneck speed, we are working hard and keeping up the international standards to which we aspire. Since 2011 all the faculty members of the promotion corporation have been independently reviewed by international experts in their fields. The new recruits from the early days of the University are in the process of international review with excellent results so far. We have three new professors promoted from associate status, and three newly tenured staff since the beginning of the University, and 5 to be reviewed before the end of this fiscal year. Our interdisciplinary style has been supported and the teaching in small groups with low faculty-student ratio, although a challenge for some, has been a success. Our faculty and researchers are highly productive with almost a publication every day over recent years.

Our recruitment continues to attract several hundreds of applicants for less than 10 places and we have now quite robust mechanisms for selecting faculty members in the broad areas. With this, we will reach critical mass in the main fields in which we want to excel. The expansion puts strain on some parts of the administration but our current plans allow for considerable improvements in faculty support and developing management systems for the expansion.

As the number of staff has grown steadily, the need for diverse training programs has increased. Initially, the focus of training was on the basic subjects, which was developed and managed by individual divisions depending on their immediate needs. Since 2016, the HR’s training section has taken the coordinating role and developed a single on-line resource on the internal website where all the training programs across campus can be found. In 2017, OIST brought in an experienced training specialist the head of the training section, and has begun a systematic assessment of the currently offered training programs. It is expected that the training programs will continue to change strategically to keep up with the changing needs of OIST.

The funding for research staff, expenses and equipment allocated to each Faculty member is exceptional both in Japan and internationally. This makes OIST an extremely attractive place to carry out research. In addition, our research support sections offer access to state of the art equipment, together with training by technical experts. These measures allow truly inter-disciplinary, ambitious research projects to flourish. OIST ensures reviews of both individual Faculty members, and also core facilities, by panels of renowned international experts to maintain our culture of excellence.

Therefore, we conclude that OIST satisfies the Standard 4 “Faculty and Staff.”

Standard 5. Management, Administration, and Finance

5-1 Management discipline and integrity
<<Perspectives for 5-1>>
5-1-(1) Upholding management discipline and integrity
5-1-(2) Continuous efforts to achieve the mission and goals
5-1-(3) Considerations for environmental conservation, human rights, and security

(1) Self-evaluation for 5-1

"OIST satisfies the Points Evaluated 5-1"

(2) Justification for self-evaluation for 5-1 (Fact-providing grounds for self-evaluation)
5-1-(1) Upholding management discipline and integrity
5-1-(2) Continuous efforts to achieve the mission and goals
5-1-(3) Considerations for environmental conservation, human rights, and security

OIST mid- and long-term plans for the entire corporation have been formulated and stipulated on the Framework Document II. Included chapters are as follows. [Document 5-1-1]

Chapter 1. Vision, Foundational Concepts, Legal Basis, and Governance
Chapter 2. Current Status of OIST Graduate University
Chapter 3. Expansion of the Graduate University
Chapter 4. Construction and Operational Budget Estimates
Chapter 5. Anticipated Achievements of the Next Decade

Nobility, honesty, fairness, respect for others, and dedication to the OIST mission are the OIST core values that inform the activities and behaviors of individuals working for OIST.

OIST 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. [Document 5-1-2]

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

- Openness in Research
- Respectful Workplace
- Commitment to Students

For the operation of the University, in accordance with the Cabinet Office Ordinance for enforcement of the OIST School Corporation Act (Cabinet Office Ordinance No. 59 of 2011)), OIST Business Plan is formulated every fiscal year, comprised of the following 5 chapters: 1) Education and research, 2) Governance and administrative transparency and efficiency, 3) Finance, 4) Contribution to self-sustainable development of Okinawa, and 5) University campus and community development; safety and environment protection. Each chapter has subchapters consisting of Goals and Actions, which contribute to our continuous efforts to fulfill OIST's mission and objective. [Document 5-1-3]

In compliance with the Bylaws of the OIST SC, the draft Business Plan is submitted to the Board of Councilors for their review and to the Board of Governors for their final approval. The plan is then submitted to the Prime Minister for approval based on the OIST SC Act. The government provides financial support to the OIST SC based on the assumption that the OIST

SC will implement the approved Business Plan appropriately. [Document 5-1-4] [Document 5-1-5]

As a corporation established on the basis of special legislation and funded by the government, it is our responsibility to implement the Business Plan steadily and to demonstrate accountability for our activities, including status of implementation of the Business Plan, to the general public.

After the end of each fiscal year, the organizational performance is reported to and evaluated by the Board of Governors and the Board of Councilors. The evaluation results are appropriately incorporated and constructively utilized in planning and executing business as a basis for the next step to achieve our objective, which is to create a best-of-the-world graduate university. In addition, the annual report together with the evaluation results is posted on the OIST web site to ensure transparency by the end of June of the following fiscal year. [Document 5-1-6]

Based on PRP Chapter 13, Safety, Health & Environmental Protection, OIST promotes the safety and health of its students, employees, and others within the OIST Community through an array of orientation programs including safety matters, research- and job-specific safety and education and training courses, and health and wellness programs [Document 5-1-7].

OIST also strives to carry out education and research and the supporting activities in a manner that preserves and protects the rich 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. [Document 5-1-7] [Document 5-1-8]

Additionally, because Okinawa is located in a geological region subject to earthquakes, tsunamis, typhoons, and other natural disasters, OIST has in place rigorous Disaster and Emergency Preparedness protocols and training for students and employees. [Document 5-1-9]

Protection of human rights is ingrained in the founding principle of OIST. As stated in PRP1.3, OIST 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. Inclusiveness is considered to be an essential element of a world-class university (PRP1.3). OIST strives to establish an institutional environment where all members can realize their full potential. The various measures are in place to minimize, if not eliminate, barriers and biases on campus including; accessible bathrooms on every floor of all buildings, a prayer room for Moslems, policies to accommodate faculty, students, and employees with small children, and non-discrimination policy in hiring. As a result, the OIST community members come from over fifty countries and are diverse in terms of culture, language, ethnicity, nationality, color of the skin, and religion. In this environment, it is necessary for people to be able to work well together across all the differences. People are remarkably tolerant of non-conventional people (such as LBTG's).
In many developed countries, the governments are making efforts to increase participation of women in the science and technology. Science is the foundation of economic prosperities and studies have shown that true scientific advances need perspectives from both men and women. At OIST, the concept of gender equality has been embraced from the beginning.

In March 2013, OIST established an ad hoc Gender Equality Taskforce consisting of representatives from the Board of Governors, OIST VPs, Faculty, administrative employees, researchers and students. The Taskforce presented its recommendations at the May 2014 Board of Governors meeting, which was approved. The Taskforce identified the OIST gender equality goals as below:

- OIST's Gender Equality Goals
- Create a working environment that is attractive to, and supportive of, all staff irrespective of gender, age or family status.
- Achieve gender balance within every job category and level within OIST, defined as at least 30% women, by 2020 (BOG/BOC, Executives, Managers, Faculty, Researchers, Students). For some categories the goal of 30% women may be exceeded before 2020.

At the top of the recommendation list of the Taskforce was to establish the Diversity Section and appoint the Vice President for Gender Equality, to ensure that there is a strong voice for promoting gender equality at the highest level of the University administration. On April 1, 2015, OIST appointed Dr. Machi Dilworth as the inaugural VPGE. In February 2016, the VPGE was given additional responsibility and the position became the VP for Gender Equality and Human Resource. This change has strengthened the OIST protection of the rights of its employees.

In order to support full participation of women at a university, there are three major points to be considered:

- Family friendly campus environment
- Policies that promote work-life balance
- Minimize/eliminate barriers and biases.

OIST has addressed all these issues. A summary of the gender equality measured implemented at OIST is described in the OIST "Equality and Diversity" brochure. [Document 5-1-10]

In terms of faculty hiring, additional measures are in place in order to ensure that all qualified applicants receive equal treatment (Faculty Search Committee Handbook) including the appointment of a diversity officer on the search committee and a requirement for all search committee members to receive a training on unconscious bias prior to the start of review of applications. [Document 5-1-11]

The unconscious bias training tool was developed in 2016 (OIST Unconscious Bias Training Tool). [Document 5-1-12]

OIST has in place policies, rules and processes to deal with complaints and disputes including the violation of human rights such as power harassments and other inappropriate behavior (PRP39), whistleblowing and academic/scientific/research misconducts (PRP23), and conflicts of interest (PRP22).

For example, PRP39 dealing with complaints and disputes were completely overhauled in the summer of 2017. [Document 5-1-13]

These policies and rules protect human rights from all possible angles. This process is continuously improved.

Though the University takes reasonable security measures to protect the security of its IT resources. 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) and Chief Information Security Manager (CISM), Information Assets may sometimes be preserved for prescribed periods of time for litigation or other legal purposes.

The purpose of information security is to protect Information Assets from unauthorized access or damage, and ensure accordance with all applicable laws, regulations and compliance requirements.

OIST is under constant attack from external parties seeking to access and exploit its IT Resources.
We regularly conduct security scans for all networks and systems at OIST, and audit the vulnerabilities and associated risks, then be corresponding them accordingly. We are also monitoring threats related to information security by central security monitoring system. Furthermore, we have reinforced incident response and digital forensic process as well.
As countermeasure to the seriousness of malware infection risk to our client PC, we have deployed new anti-malware software equipped with artificial intelligence.
We could detect malware infection which could not be detected by previous anti-malware software, and deleted them before it damaged our client PC.

The core administrative systems of OIST have been replaced as part of a 3 year project; the Human resource, Education, Accounting and Research Transformation project (HEART project). HEART has delivered administrative systems which best serve OIST as an organization, and account for its international nature. The HEART system has unified Finance and Human Resources functions under a single system and web interface, and using OIST single-sign-on. The HEART system has greatly eased the process of approving purchases and requests, enabling managers and approvers to appropriately assess and approve requests, increasing compliance. The HEART system also add a range of self-service functions, allowing OIST members to perform digitally a range of HR functions which were previously complex and paper based. The level of security of the system is greatly improved, with MyNumber and other personal information stored and encrypted in accordance with OIST policy and personal information protection laws.

(3) Measures for improvement or enhancement on 5-1 (the future plan)
The CEO/President will continue to provide the leadership, hold accountable to the Board of Governors and the Board of Councilors, and maintain the appropriate relationship between these boards. Under such distinctive governance, the CEO/President will maintain the business discipline of OIST. To assure the quality, OIST will continue to comply with the related laws, regulations, and guidelines by reflecting them in OIST PRP.

Auditors of the corporation will continue to conduct rigorous audits to ensure appropriateness and efficiency of the operations of the corporation.

Responsible VPs and Deans (e.g. Dean of Research, VP BFM, Dean of Faculty Affairs, etc.) have been coping with such risk management cases like malware infection, natural disasters, etc., by sharing necessary information and keeping close coordination among each other. Risk Management Coordinator(RMC) has been recruited in 2018 February, while Chief Operating Officer(COO) in 2018 April. From now on COO will function as a core of university operation & management and work for establishing more efficient and practical

system for risk management in close coordination with RMC.

5-2 Functions of the Board of Governors
<<Perspectives for 5-2>>
5-2-(1) Development and functionality of a system to enable strategic decision-making for achieving the mission and goals

(1) Self-evaluation for 5-2

"OIST satisfies the Points Evaluated 5-2."

(2) Justification for self-evaluation for 5-2 (Fact-providing grounds for self-evaluation)
5-2-(1) Development and functionality of a system to enable strategic decision-making for achieving the mission and goals

In compliance with the mandate of the OIST SC Act, OIST School Corporation (OIST SC) and OIST Graduate University (the University) present a unified management structure. Ultimate authority and responsibility for management and operation of OIST SC are vested in its Board of Governors (BOG). The BOG is the highest decision-making body, which supervises all the business and implementation of plans at OIST. [Document 5-2-1]

OIST employs a Western-style management system to enable more strategic decision-making in administrative management by vesting more responsibilities and authorities in the BOG compared to other universities in Japan [Document 5-2-2].

The BOG is comprised of no more than 20 and no fewer than 10 Governors, including the President/CEO and the Executive Vice President/Vice CEO. The BOG includes a majority of members who are not officers or employees of OIST SC at the time of appointment. The Chairman and Vice Chairman are elected by the Governors, excluding the President and Executive Vice President. [Document 5-2-3]

BOG meetings comprise two types: Regular and Extraordinary. Regular meetings are convened in May, September, and February every year, and extraordinary meetings are convened as necessary. All BOG meetings are called by the Chairman. [Document 5-2-4]

As stipulated in Article 6 of the Bylaws, the Governors include scientists with outstanding achievements in the development of science and technology (e.g. Nobel Laureates), persons with superior understanding of the development and promotion of Okinawa (e.g. Professor Emeritus, University of the Ryukyus), persons with superior knowledge and experience concerning university management (e.g. director of an international research institute), establishing a system to enable strategic decision-making for achieving our mission and goals, such as promotion of interdisciplinarity in education and research and contribution to the sustainable development of Okinawa. [Document 5-2-5]

As stipulated in PRP2.2, the following standing committees are established to support CEO in the decision-making process.

✓ The responsibility of Steering Committee is to expedite the responsibilities of the BOG.

- ✓ Business and Finance Committee is responsible for the business and financial policies of the University, including review of long-term planning, capital expenditures budget, annual operating budget, building project cost estimates and investments.
- ✓ Research and Academics Committee has responsibility for reviewing research and academic affairs, including selection and promotion of the faculty.
- ✓ Audit and Compliance Committee has the powers and duties with respect to financial statements of the university, internal and external audit, risk management, compliance, reporting and other matters as specified.

Secretary to the BOG acts as the Secretariat and works for the Chair of the BOG and BOC with the responsibilities for preparing agendas and papers for meetings, serving sub-Committees created by the BOG/BOC, and managing the affairs of the BOG/BOC.

(3) Measures for improvement or enhancement on 5-2 (the future plan)
BOG and BOC will establish committees and subcommittees to exercise its full function. Activities of these committees and subcommittees will receive sufficient administrative support.
A web or telephone conference system will continue to be utilized for the BOG and BOC meetings to enhance efficiency as well as promote active participation of Governors and Councilors who are in distant locations.

5-3 Facilitation and cross-checking of administration and operation
<<Perspectives for 5-3>>
5-3-(1) Facilitation of decision-making among administrative organizations at the corporation and university
5-3-(2) Functionality of cross-checks among administrative organizations at the corporation and university

(1) Self-evaluation for 5-3

"OIST satisfies the Points Evaluated 5-3."

(2) Justification for self-evaluation for 5-3 (Fact-providing grounds for self-evaluation)
5-3-(1) Facilitation of decision-making among administrative organizations at the corporation and university
5-3-(2) Functionality of cross-checks among administrative organizations at the corporation and university

The Okinawa Institute of Science and Technology Graduate University (the University) is the only university managed by the Okinawa Institute of Science and Technology School Corporation. The ultimate authority and responsibility for the management and operation of the OIST School Corporation lies with the BOG. To meet this obligation, the BOG selects a University President and the University President also serves as the Chief Executive Officer of the Corporation. [Document 5-3-1]

Under the leadership of the President, executive meeting that functions by preparing major decisions of the university holds bi-weekly meetings and facilitates information sharing among division heads and organizational decision making. With the attendance of the Faculty Assembly representative, the meetings also discuss important issues regarding education and research at the University.

The OIST Bylaws stipulates on its Governors, Auditors, and the BOC; in Article 8 of the Bylaws, Auditors of OIST SC are nominated by the BOG from among individuals who are not Governors, not employees of OIST SC (including the President, faculty, and other employees; the same shall apply hereinafter) and not Councilors; the BOC must concur in the nomination, and the CEO must appoint the Auditors. The appointment must be approved by the Prime Minister.

Audits by the Auditors are conducted at OIST, as stipulated in the OIST Bylaws. Audits by the Auditors are conducted to secure appropriate and efficient business and administrative operations of OIST as well as legitimate accounting.

Audits by the Auditors are conducted based on the relevant laws, the OIST Bylaws, and OIST's policies and regulations that are stipulated from those laws. When implementing the audit activity, the Auditors respect the autonomous nature of the education and research at the University.

The BOC provides opinions to Governors and Auditors regarding the state of OIST SC's operations and assets, and the execution of operations by the Governors and Auditors. It also responds to inquiries from Governors and Auditors, and solicits reports from Governors and Auditors.

The BOC is comprised of no more than 41 and no fewer than 21 Councilors, including the CEO and Vice CEO. The BOC Chairman and Vice Chairman are selected by the BOG from the BOC membership, excluding members of the BOC who are executives of OIST. Councilors are also selected and appointed by the BOG, pursuant to the OIST SC Bylaws. Councilors serve for three years, subject to reappointment.
The BOC must prepare opinions and reports on the following matters and submit them to the President/CEO before every BOG meeting. [Document 5-3-2] [Document 5-3-3] [Document 5-3-4]

- Handling of budgets and loans, disposal of endowment assets, and disposal of real estate and reserve funds that are operating assets
- Operations plans
- Acceptance of new obligations or release of rights outside the budget, changes to the Bylaws
- Mergers
- Dissolution caused by inability to achieve OIST SC's target purposes
- Items regarding solicitation of donations in money or in kind
- Other important items regarding OIST SC's operations as deemed necessary by the BOG

OIST has regular executive meetings, executive faculty forum, managers' meeting, and other meetings at different levels in place for mutual reviews of the operations and management.

OIST has also established bottom-up systems to take up opinions and needs to the upper management through specific committees, such as the Child Development Center (hereinafter referred to as the "CDC") Association, IT Liaison Meeting (including students), and Café committee.

In OIST management structure for academic issues, the administrative organization responsible for faculty governance and academic issues is the Faculty Assembly. The Assembly has an executive body, the Faculty Council, as stipulated in PRP3.3. [Document 5-3-5]

The Dean for Faculty Affairs administers the Faculty Assembly and Faculty Council described above. The Dean for Faculty Affairs is also the administrative home of the members of the faculty.

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

The Dean of the Graduate School administers the OIST Graduate School. The position of Dean of the Graduate School is a rotating position of the faculty with a three-year term, which is renewable at the discretion of the President.

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 administrative home of the members of the faculty will be the Dean for Faculty Affairs. 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, such as the Common Resources Advisory Committee, Animal Care and Use Committee, Human Subjects Research Review Committee, and Biosafety Committee. These functions are services to the University; the President, Executive Vice President for Technology Development and Innovation, Dean of the Graduate School Dean for Faculty Affairs and Dean of Research make appointments to these committees.
These functions are services to the University management; the President, Executive Vice President for Technology Development and Innovation, Dean of the Graduate School, Dean for Faculty Affairs, and Dean of Research make appointments to these committees.

Matters raised at the BOG meetings is discussed in various committees, and the councils provide the results of the discussion as their advice to the President. In this manner, OIST is managed and operated under the President's leadership based on the bottom-up initiatives derived from the horizontal discussion at the BOG or committees.

(3) Measures for improvement or enhancement on 5-3 (the future plan)
OIST will continue to hold regular executive meetings with the President/CEO, Vice CEO, VPs, and Deans to share information, review the status of business operations and make important decisions. Also, OIST will continue to hold the bi-monthly information sharing meeting between the Executive and the Faculty Assembly to improve the flow of information between senior management and the Faculty.

As the number of people and size of OIST expands, the CEO/President will continue to appropriately maintain and improve the bottom-up system described above, exercise leadership in all matters of daily operation, and ensure steady implementation of the Business

Plan.

Auditors will continue to conduct rigorous regular audits of all aspects of business operations, including budget execution, tendering and contracts, and the status of compliance, based on the Auditing Plan developed in advance while coordinating with internal audits and accounting audits, and conduct special audits in addition when deemed necessary. While keeping appropriate independence, Auditors will continue to maintain effective communications with the university management through the Vice Presidents in charge and will be provided sufficient information and staffing necessary for conducting their duties. Result of Auditors' audit will be reflected in future operations through their reporting at the BOG meetings, etc.

5-4 Financial base and fiscal balance
<<Perspectives for 5-4>>
5-4-(1) Establishment of appropriate financial operation based on mid- and long-term plans
5-4-(2) Securement of a stable financial base and fiscal balance

(1) Self-evaluation for 5-4

"OIST satisfies the Points Evaluated 5-4."

(2) Justification for self-evaluation for 5-4 (Fact-providing grounds for self-evaluation)
5-4-(1) Establishment of appropriate financial operation based on mid- and long-term plans
5-4-(2) Securement of a stable financial base and fiscal balance

OIST's mid- and long-term financial plan is described in the income and expenditure budgeting plan in "Chapter 4. Construction and Operational Budget Estimates" of the "Framework Document II", a document describing the continued growth and development of OIST. The income and expenditure budget plan is developed based on the envisioned growth from 55 Faculty in FY2017 to approximately 100 Faculty in FY2023. [Document 5-4-1]

The main categories of budget expenditure are operating cost of the OIST SC and construction investment, which is capital expenditure. The expenditure is estimated with the experience of having operated a research institution for more than 5 years and a university for 3 years.

The main categories of budget income are Subsidies for Operations and Subsidies for Construction both provided by the Japanese government, and external funds. The 20-billion-yen level of subsidies from the government per year is assumed throughout the approximately 10 years, that the mid-and-long term plan covers. This mid- and long-term plan does not include planning of incidental revenue, loans, or investment.

Regarding securement of appropriate financial operations based on mid- and long-term plans, prior to the beginning of each fiscal year, OIST prepares Budget Income and Expense Plan, Projected Balance Sheet, and Income Statement of the fiscal year based on the budget request for subsidies. These documents are presented in the Business Plan of the fiscal year. This fiscal year Business Plan must be discussed with and approved by the BOC and the BOG, which has the ultimate authority for the financial management of the OIST SC. [Document 5-4-2]

Upon the budget request for the necessary subsidies to implement the Business Plan of the fiscal year, the government grants subsidies to OIST. OIST appropriately allocates the subsidies based on the budget compilation at the beginning of the fiscal year, as stipulated in OIST PRP Chapter 27 “Budget Planning, Execution, and Monitoring”. Also, OIST promotes organizational management of budget execution, by reviewing the budget allocation as needed during the fiscal year in order to ensure proper budget execution. The status of budget execution is reported to the BOG. [Document 5-4-3]

Therefore, we conclude that OIST has secured appropriate financial operations based on mid- and long-term plans.

OIST is established based on the Okinawa Institute of Science and Technology School Corporation Act, and receives Subsidies for Operations and Subsidies for Construction from the national government upon budget request based on the Business Plan of each fiscal year. In FY2016 income and expenditure budget execution, 97% of the income was the subsidies, establishing a stable financial base. [Document 5-4-4]

Regarding fiscal balance, taking the most recent income and expenditure budget execution for example, the total income in FY2016 was 20,995 million yen, consisting of 15,869 million yen as Subsidies for Operations, 4,441 million yen as Subsidies for Construction, and 685 million yen from other sources.

The total expenditure was 20,865 million yen, consisting of 5,401 million yen for personnel expense, 831 million yen for academic related expense, 3,033 million yen for education and research related expense, 6,227 million yen for common resource expense, 932 million yen for administrative expense, and 4,441 million yen for facility maintenance expense. As the result, the income exceeded expenditure by 130 million yen.

The FY2016 Profit and Loss Statements show that the net ordinary income was 32 million yen, with the total ordinary revenues of 15,928 million yen versus the total ordinary expenditure of 15,896 million yen. Adding 5 million yen of the extraordinary income and loss, the gross income was 37 million yen. [Document 5-4-5]

OIST’s mid- and long-term plan and fiscal year plan are based on a stable income, which is the subsidies from the government. In operating the business, OIST executes the budget within the amount of subsidies allocated for the costs approved by the national government, stipulated in the Guideline for the Granting of Subsidies for OIST. The fiscal balance is, therefore, always well maintained at OIST. [Document 5-4-6]

(3) Measures for improvement or enhancement on 5-4 (the future plan)
As described above, stable allocation of the 20-billion-yen level of Subsidies for Operations from the government per year, and Subsidies for Construction to construct facilities for the expansion of OIST are essential for OIST to implement mid- and long-term plans. To continue to receive necessary subsidies, OIST needs to produce the anticipated outcome of research and education. Also, efforts to obtain KAKENHI (grants in aid) and other research grants, contract research funds through industrial collaboration, and donations are urgently required. The Business Plan of this fiscal year incorporates focused measures to obtain more external funding.

5-5 Accounting
<<Perspectives for 5-5>>
5-5-(1) Development of proper accounting procedures
5-5-(2) Development of an accounting audit system and its strict implementation

(1) Self-evaluation for 5-5

"OIST satisfies the Points Evaluated 5-5."

(2) Justification for self-evaluation for 5-5 (Fact-providing grounds for self-evaluation)
5-5-(1) Development of proper accounting procedures
5-5-(2) Development of an accounting audit system and its strict implementation

As the only school corporation under the jurisdiction of the Cabinet Office, OIST process accounts and prepares Financial Statements in compliance with the original school corporation accounting standards stipulated by the Cabinet Office.

In addition to yearly settlement, OIST conducts monthly settlement of accounts. In monthly settlement, the compound trial balance and appendices are submitted monthly to the Board of Audit within 30 days after certain period of the month, in accordance with Article 2 of the regulations on the Submission of Accounts of Article 24 of the Board of Audit Act. [Document 5-5-1]

For the yearly settlement, as stipulated in Article 15 of the Bylaws, OIST compiles the Balance Sheet, Profit and Loss Statements, Profit Appropriation Statements (draft), and Income and Expense Statement within 2 months after the closing of each fiscal year. The Auditors conduct an audit on the draft of the Financial Statements, prepare an auditor report, and submit it to the BOG. The draft of the Financial Statements along with the auditor report is reported, discussed, and approved in the BOG meeting based on the recommendation from the BOC. OIST then prepares the Financial Statements, which includes Annexed Detailed Statements and submit it to the Prime Minister along with a Report of Independent Auditors, within 3 months after the closing of each fiscal year. [Document 5-5-2]

OIST also discloses the Financial Statements on its website.

Appropriate process of accounts needs to include the viewpoint of the budget income and expense report. Budget supervisors are responsible for appropriate management of budget execution so that the settled amount would not be significantly deviated from the budgeted amount. However, if such deviation is expected as the operation of OIST SC develops, the budget allocation is revised and/or financial resources are transferred during the fiscal year, and OIST processes accounts with financial corrections as needed.

Asset tracking tags have been replaced with Radio-Frequency enabled tags that allow for automated tracking of fixed assets and also it will reduce annual fixed asset inspection efforts. RFID (radio frequency identification) is an automatic recognition system that reads and writes information stored on a medium called RFID tag by wireless communication.
We have deployed fixed RFID reader at exit door, once RFID asset tags are detected by those fixed RFID reader, it location and timestamp will be recorded.

Mobile RFID reader will detect RFID asset tag within 1-3 meter radius, and it will record asset information, location and time. Those asset information will be updated to FAME system as well.
It enables us to refer the history when and where the assets were detected.

Therefore, we conclude OIST properly processes accounts in terms of compliance with accounting standards and budget execution management.

Regarding the development and improvement of the accounting audit system, as stipulated in Article 12 of the OIST SC Act, OIST commissions accounting audit to an auditing firm, and submit to the Prime Minister a report by the auditing firm along with the Financial Statements. The auditing firm commissioned for the FY2017 audit consists of 5 certified public accountants (2 managers and 3 assistants). Approximately 700 hours of auditing is planned for the year. The accounting audit system is properly designed for the business size at OIST. [Document 5-5-3]

Before conducting the audit of the year, the auditing firm explains the auditing plan to the Auditors, COO, and Vice President for Financial Management, and exchange opinions on the overview of auditing, the organization of the auditing team, yearly schedule of the audits, risk for OIST's business, and its effect on the Financial Statements, among other necessary matters.

In conducting audits during a fiscal year, the auditing firm work closely with the Auditors, COO, and Vice President for Financial Management, and to collect necessary information for auditing. The firm also actively provides useful information to OIST and conducts effective audits with a focus on risk.

Basic approach of audits during a fiscal year is to identify and evaluate unique risks for OIST based on the understanding of its business environment, and to choose and apply procedures suitable for each risk. More specifically, the auditing firm looks for important changes or abnormality in the amount of money from monthly budget execution statuses and monthly transitions of trial balance, and checks if there is no fraudulent journalization or if evidence documents are complete. The firm also checks if there is no mistake or improper process in the calculation of fixed assets based on the fixed asset management ledgers and results of fixed asset inspection. In addition, the firm confirms the effectiveness of the internal control on all aspects of management including establishment of regulations and procedures of settlement.

In the settlement season, the auditing firm checks the final balance and journalization of cash deposit and other assets by implementing a cut-off test. The firm also confirms if there is no mistake in the reclassification and presentation of the titles of accounts in the balance sheets, profit and loss statements, and statements of cash flows. In addition, the firm conducts audits on the presentation of the profit appropriation statements (draft), Statements of Administrative Service Costs, Notes to Financial Statements, and Annexed Detailed Statements. After these audits, the auditing firm submits the report of independent auditors to the CEO in the middle of June after the completion of settlement. [Document 5-5-4]

In submission of the audit report, the auditing firm reviews the management by the Auditors, CEO, COO and responsible Vice President, exchanges honest opinions on the governance and

internal control, and makes suggestions for improvement if challenges in the management of the University are recognized.

In addition to the accounting audit by an auditing firm, OIST conducts internal audits by the Compliance Section during each fiscal year, internal audit by an ad-hoc team, and auditors' audit during and closing of each fiscal year.

The internal auditors coordinate with each department to investigate and inspect on-site based on the information collected internally or from the audit report of the Board of Audit of Japan and other materials. The internal auditors give advice and a proposal based on the audit results.

Auditors' audit is conducted by two Auditors as stipulated in Article 15 of the Bylaws. During a fiscal year, the Auditors conduct the audit of business affairs by hearing from relevant Vice Presidents about the administrative procedures. In the settlement season, the Auditors conduct auditors' audit by reviewing the balance sheets, profit and loss statements, statements of cash flows, profit appropriation statements (draft), and income and expense statement.

The results of these audits are compiled as an audit report and submitted to the CEO within 2 months after the completion of settlement, and reported in the BOG meeting.

Therefore, we conclude that the accounting audit system has been developed and strictly implemented at OIST.

(3) Measures for improvement or enhancement on 5-5 (the future plan)
As the only university under the jurisdiction of the Cabinet Office, OIST employs the original accounting standards, which is different from other universities. If the Accounting Standards for Independent Administrative Institution and the Accounting Standards for National University, which is the basis of other universities' accounting standards, are revised, OIST may not be able to respond to the changes in a timely manner. OIST will discuss this matter with the Cabinet Office for improvement. With the rapid expansion, OIST will continue to construct buildings for research and accommodation facilities. For the use of subsidies, we will strengthen the system to enhance information sharing and coordination with relevant sections for proper execution of budget.

[Self-Evaluation for Standard 5]
As a special school corporation established by the OIST SC Act, OIST has secured sufficient budget every fiscal year within the Okinawa promotion budget. The finance and management of OIST has been successfully advanced including the plan for future expansion.

OIST appropriately processes the accounts in compliance with the accounting standards approved by the Cabinet Office. Audit is strictly conducted at OIST by the internal auditors, auditing firms, and the Auditors.

Therefore, we conclude that OIST satisfies the standards in Standard 5. "Management, Administration and Finance".

Standard 6. Internal Quality Assurance

6-1 Organizational system for internal quality assurance
<<Perspectives for 6-1>>
6-1-(1) Development of an organization for internal quality assurance and establishment of responsibility allocation

(1) Self-evaluation for 6-1

"OIST satisfies the Points Evaluated 6-1."

(2) Justification for self-evaluation for 6-1 (Fact-providing grounds for self-evaluation)
6-1-(1) Development of an organization for internal quality assurance and establishment of responsibility allocation

Toward internal quality assurance, there are three main categories of evaluation at OIST:

- Business performance report
- Peer review
- Evaluation by an accreditation and evaluation organization

The business performance report is self-evaluation (internal evaluation) to assess the progress against the Business Plan of each fiscal year. Regarding the implementation, at the initiative of the Executive Committee, the Government Relations Section under COO leads the self-inspection and evaluation through communicating with each section and summarizes the business outcome in each fiscal year.

In addition to the above, a distinguished panel of experts performed an external peer review to assess whether OIST Graduate University has established the facets needed to achieve its primary goals and has developed an appropriate mid-and long-term plan for the future at the time of July 2015, in its third year of establishment. The External Peer Review Panel is highly international, consisting of highly experienced experts in university research and management as follows. [Document 6-1-1]

- Prof. Olaf Kübler (Chair)
  - Former President, Eidgenössische Technische Hochschule (ETH) Zürich
  - Former President Director, Society in Science: The Branco Weiss Fellowship, Zürich, Switzerland
- Prof. Haim Harari
  - Former President and Professor Emeritus, Weizmann Institute of Science
- Karl Deisseroth
  - D. H. Chen Professor, Professor of Bioengineering and of Psychiatry and of Behavioral Sciences, Stanford University
  - Howard Hughes Medical Institute
- Prof. Mitiko Go
  - Former President and Professor Emeritus, Ochanomizu University
  - External Executive Director, Research Organization of Information and Systems
- Prof. Maki Kawai
  - Special Advisor to the President, RIKEN, Japan
  - Professor, Department of Advanced Materials Science, The University of Tokyo
- Prof. Erwin Neher

- Former Director and Professor Emeritus, Max Planck Institute for Biophysical Chemistry
- Nobel Prize for Physiology or Medicine 1991

The institutional evaluation and accreditation is a third-party evaluation conducted every 7 years by the evaluation and accreditation organization based on the School Education Act. This evaluation is implemented in the similar manner with the evaluation and business performance report.

In addition to the evaluation described above, the "Study Group on Future Challenges of the Okinawa Institute of Science and Technology School Corporation" is also regularly organized by the Cabinet Office to discuss future challenges of OIST and give experts' advices to the Minister of State for Okinawa and Northern Territories Affairs regarding the Business Plan, draft of the budget request, and Business Performance Report of the corresponding fiscal year. [Document 6-1-2]

The Business Report (including the Business Performance Report), Report of the Peer Review, and the Self-Inspection and Evaluation Report, together with the BOG evaluation results are posted on the OIST web site to ensure transparency. [Document 6-1-3]

(3) Measures for improvement or enhancement on 6-1 (the future plan)
OIST effectively and appropriately operates the business cycle of each fiscal year, comprising of planning, implementation, self-evaluation, and feedback.

We will work to establish an evaluation system which combines the fiscal year business performance report and the external peer review in an organic manner, with consideration on the appropriate relationship and division of roles between the two.

6-2 Self-inspection and evaluation for internal quality assurance
<<Perspectives for 6-2>>
6-2-(1) Conducting self-inspection and evaluation for internal quality assurance supported by independence and autonomy, as well as sharing the results
6-2-(2) Sufficient survey, data collection, and data analysis effectively using IR (Institutional Research), etc.

(1) Self-evaluation for 6-2

"OIST satisfies the Points Evaluated 6-2."

(2) Justification for self-evaluation for 6-2 (Fact-providing grounds for self-evaluation)
6-2-(1) Conducting self-inspection and evaluation for internal quality assurance supported by independence and autonomy, as well as sharing the results
6-2-(2) Sufficient survey, data collection, and data analysis effectively using IR (Institutional Research), etc.

As stated at above 6-1, The Business Performance Report quantitatively evaluates the progress based on objective information and data with achievement metrics provided each fiscal year. More specifically, at the end of each fiscal year, relevant data are collected and analyzed at the responsible section (the primary review) regarding the efforts to achieve goals set out in the corresponding Business Plan under the Vice President or Dean in charge. The

President then conducts comprehensive analysis and evaluation on the results of self-evaluation submitted by each section (the secondary review). The President reports the results to the BOG and BOC. [Document 6-2-1]

After the BOG confirms the business performance report, the Cabinet Office organizes a study group in which the evaluation outcomes regarding OIST education, research, and management are reported and the integrity of the evaluation is assessed.

As mentioned above, external experts with profound knowledge in academics performed a peer review in 2015 to assess whether OIST has established the facets needed to achieve its primary goals and has developed an appropriate future plan in its third year of establishment. The External Peer Review Panel members collected and analyzed reference data including Unit Overview and Unit Publication, and Statistical Information prior to arriving at OIST. The members carried out an on-site intensive inspection for three days. As the result, the External Review Panel concluded that the progress across all (eight) key standards to measures excellence has been outstanding, as described below. [Document 6-2-2]

The Panel is happy to state that progress across all key measures of excellence has been outstanding. In these measures, OIST is on a par with the 25 universities ranked highest by Times Higher Education, QS or Jiaotong World University Rankings 2014/2015.

The key measures of excellence were:

- *Physical campus infrastructure*
- *Management structure and management processes*
- *Academic Program and Recruitment of Faculty*
- *Graduate Program*
- *Instrumentation*
- *Course to research outcome*
- *Technology transfer*
- *Welfare, social, and cultural support programs*

The Panel would like to highlight some especially meritorious achievements in the form of explicit commendations.

- *For the design, construction, implementation, and use of a harmonious, uplifting, sustainable, efficient, and frankly inspirational physical campus infrastructure*
- *For the major effort made in installing highly effective management structure and management processes, which we regard essential for the transition from a research institute to an international top-level graduate university*
- *For considering the management process outlines as living documents, for gathering evidence, for listening to the faculty, and for expressing the will to add amendments when necessary*
- *For the welfare, social, and cultural support programs.*

Building on this solid foundation, the Panel endorses the plans for the future evolution of OIST as detailed in Framework Document II (July, 2014). We put forward one encompassing central recommendation and six subordinate recommendations regarding the future of OIST and two minor recommendations towards optimizing current operations.

- *The Panel endorses the general plan of growth suggested by the management of OIST, aiming at a goal of approximately 100 outstanding research groups, with a proper balance among different fields of research, and a graduate school of a few hundred students, one decade from now, by the mid 2020's. Towards the end of this decade of development, further evolution of OIST must be deliberated and planned.*

To assure well-structured and well-ordered growth, the Panel includes the following subordinate recommendations:

- *The construction budget for new buildings should always precede the recruitment steps*
- *The budget needed for building the complete space for 100 groups by 2025, should be fully allocated by 2020, and fully spent by 2023*
- *Some arrangement of a multi-year budget indication should be offered to OIST*
- *The management of OIST should have an official rolling estimate for the operating and construction budget for several years*
- *Certain unspent funds should be carried from one budget year to the next*
- *The sources of income of OIST should be diversified.*

The minor recommendations towards optimizing current operations suggest:

- *OIST continues to look for and increase opportunities to provide academic teaching experiences for graduate students and postdocs*
- *OIST sustains constant effort towards establishing uniformly high levels of support and access across all shared facilities.*

End of quote from the Executive Summary of the Report of the External Peer Review Panel

For evaluation and accreditation, OIST conducts self-inspection and evaluation in alignment with the evaluation standards set forth by an accreditation and evaluation organization. OIST prepares the objective data, the List of Evidence specified by the organization, as the basis of the self-inspection and evaluation.

(3) Measures for improvement or enhancement on 6-2 (the future plan)
As a young university, OIST has not sufficiently collected and accumulated cross-disciplinary data on research and its outcomes. Although research and its outcome are not included in the evaluation standards specified by the accreditation and evaluation organization, it is our plan for improvement to further data collection and accumulation.
Though there has been no specific section responsible for necessary survey, data collection, and data analysis for IR, concerned Divisions/Offices and Sections are working on for the purpose.

6-3 Functionality of internal quality assurance
<<Perspectives for 6-3>>
6-3-(1) Establishment and functionality of the PDCA mechanism in departments, divisions, and graduate divisions, as well as the entire university for internal quality assurance

(1) Self-evaluation for 6-3

"OIST satisfies the Points Evaluated 6-3."

(2) Justification for self-evaluation for 6-3 (Fact-providing grounds for self-evaluation)
6-3-(1) Establishment and functionality of the PDCA mechanism in departments, divisions, and graduate divisions, as well as the entire university for internal quality assurance

As described above, OIST sufficiently utilizes the outcomes of self-inspection in the PDCA mechanism. In alignment of the OIST SC Act and the Framework Document II, the PDCA mechanism comprises yearly business vision and plan development, Business Performance Report, and feedback. [Document 6-3-1] [Document 6-3-2] [Document 6-3-3]

This PDCA mechanism runs under elaborate discussion and adjustment with the Cabinet Office, and its progress is reported and checked in the Quarterly Meeting. The system allows the outcomes of evaluation to be feed backed to improve and enhance the University operation. [Document 6-3-4]

(3) Measures for improvement or enhancement on 6-3 (the future plan)
As described above, the PDCA mechanism for utilizing the results of Self-Inspection and Evaluation is established incorporating the checking function by the Cabinet Office and the Ministry of Finance. OIST will continue to properly operate and manage its business in accordance with this mechanism.

[Self-Evaluation for Standard 6]
OIST appropriately implement, operate, and manage its education and research based on the PDCA mechanism through the business performance report annually, and regular external peer reviews conducted as needed.

We will continue to collect and analyze necessary data through annual business performance report and through ad hoc review such as the External Peer Review FY2015, so that we will use those information and data for efficient and effective self-inspection and evaluation in order to enhance the quality assurance of OIST.

Therefore, we conclude that OIST satisfies the Standard 6. “Internal Quality Assurance.”

IV. Self-Inspection and Evaluation Based on Standards Unique to Each Institution for Its Mission and Goals

Standard A. Contribution to the Sustainable Development of Okinawa

A-1 Policies, organizational structure, efforts, and outcomes of social collaboration

<<Perspectives for A-1>>

A-1-(1) Policies, organizational structure, efforts, and outcomes of industrial collaboration for the sustainable development of Okinawa

A-1-(2) Policies, organizational structure, efforts, and outcomes of contribution to the local community for the sustainable development of Okinawa

(1) Self-evaluation for A-1

"OIST satisfies the Points Evaluated A-1"

(2) Justification for self-evaluation for A-1 (Fact-providing grounds for self-evaluation)
A-1-(1) Policies, organizational structure, efforts, and outcomes of industrial collaboration for the sustainable development of Okinawa

A key objective of OIST, as embodied in its School Corporation Act of 2011, is that the university contributes to the promotion and self-sustaining development of Okinawa. To enhance its commitment to Okinawa development, the Japanese government announced the "Basic Policies for Fiscal Management and Reform", which includes measures to promote the creation of an international intellectual and industrial cluster (R&D cluster) in Okinawa centered upon OIST and other institutions. In addition, the Japanese government has identified "science, technology, and innovation as the 'anchor' and 'driving force' towards the bright future of the country".

The government will continue to proactively implement a comprehensive package of measures to promote development in Okinawa as a national strategy so that Okinawa can serve as a driving force in making Japan's economy more energetic as a leading region of Japan. In the process, it will take advantage of the potential and advantages of Okinawa, which is regarded as a gateway to a growing Asia. The government will promote tourism in Okinawa and work to turn the region into an innovation powerhouse in view of the designation of Okinawa as a National Strategic Special Zone and the plan to construct more runways in Naha Airport. It will explore consider expansion of the Okinawa Institute of Science and Technology Graduate University (OIST) and support an advancement of the formation of a global intellectual and industrial cluster with OIST at its center. In addition, the government will promote the effective use of the returned US military installations, including the introduction of advanced medical functions to the West Futenma Housing area.

Within this historical context, OIST established the Office for Sustainable Development of Okinawa in July 2014 to embody the commitment of the University to its founding objective. The Office was renamed in September 2016, (and shall hereinafter be referred to as), the Technology Development & Innovation Center for the Self-Sustaining Development of Okinawa, or TDIC.
The mission of the Technology Development & Innovation Center is to foster innovation at OIST and in Okinawa to accelerate self-sustaining economic growth.
TDIC achieves this mission by pursuing 3 main activities:

- Promoting technological development and commercialization of OIST research discoveries
- Forging strategic partnerships with local, national, and international organizations with the purpose to advance innovation in Okinawa

- Developing mechanisms to measure the elements of successful innovation and to understand their impact on society and the economy

Innovation Framework

Three themes provide a conceptual framework that guides the main activities of TDIC: Innovation Infrastructure, Innovation Partnerships, and Innovation Analysis.

- **Innovation Infrastructure**

  During the first 5 years of the School Corporation, OIST invested in building its "Innovation Infrastructure", which refers to the basic set of interconnected core services and facilities that are essential to promoting technology development and commercialization of OIST research discoveries. [Document A-1-1] [Document A-1-2]

  There is oftentimes a technological gap between inventions arising from basic research labs and industry/market implementation. Recognizing this gap, OIST developed programs to support proof-of-concept (POC) research to accelerate the development and commercialization of OIST inventions.

  POC research that enhances basic knowledge and that addresses important practical problems or societal needs is supported through the OIST Innovative Technology Research Program (ITR). This program is focused on highly innovative research that can lead to inventions and novel patents.

  Once an invention has been reduced to practice, additional research may be needed to develop a prototype or minimum viable product that can attract the attention of industry licensees or collaborative partners. For this stage, OIST developed the POC Phase I/II Program in 2015, and expanded it in 2017, to provide competitive, short-term funding to demonstrate the commercial feasibility of a technology or product concept.

  A unique feature of the OIST Proof-of-Concept Research Programs is that they also provide hands-on guidance to researchers by: (1) pairing projects with external industry mentors experienced in early-stage technology commercialization, (2) commissioning market research to understand the potential market, and (3) a curriculum of workshops and courses on project management, business planning, and entrepreneurship with the aim of strengthening the professional skills needed to lead commercialization-focused research projects. [Document A-1-3]

  The combination of advanced technology research, funding, hands-on guidance, and attention to the development of human resources is unique compared to other POC programs around the world and fits well within the OIST environment. [Document A-1-4]

- **Innovation Partnerships**

  Because the success of OIST and Okinawa are interconnected, partnerships with external stakeholders are important to ensure that OIST achieves its mission to contribute to the self-sustaining development of Okinawa. Partnerships are also critical because OIST acting alone or in isolation will have a limited impact on the development of Okinawa. TDIC plays a leading role at OIST in building partnerships with academic, industry, and government organizations to spur innovation and seed economic growth in Okinawa.

  TDIC hosts many visits from public and private sector organizations for information exchange and to explore areas of mutual interest for partnering. In addition to partnering with the private companies on the co-development of new technologies (as

described above in "Industry Collaborations and Sponsored Research"), MOUs have been implemented with several local and national organizations to collaborate on promoting startups and R&D cluster development.

- **Innovation Analysis**
  In addition to overseeing technology development and innovation at OIST, TDIC also considers the impact that innovation has on the broader societal and economic environment. While the linkages between university research output and economic impact are extremely complex, it is important to understand the elements of successful innovation to measure the success of programs and inform long term strategy.
  To provide a basic foundation, TDIC is developing a project to index the science and technology resources and capabilities at OIST and Okinawa in an electronic (e.g., open, web-based, bilingual, and searchable) collection of charts, data, and resources that can be examined over a period time, or at a given point in time. This index will provide a picture of the overall health of the science and technology enterprise in Okinawa and will provide an analytical foundation for decision-making.
  While the OIST does not have expertise in social science fields such as economics, sociology, and public policy to launch extensive socio-economic studies around innovation, it works with external consultants to provide necessary core data and analysis. In the future, OIST hopes to host visiting social scientists to explore these topics in Okinawa.

Operational Structure for Innovation

Leadership of TDIC is an appointed, Executive-level position at OIST which directly connects the Center to broader university strategic and operational plans and values.

TDIC staff also includes experts seconded from local industry and government for limited-term appointments, providing an important link between OIST and external stakeholders in Okinawa.

One unique aspect of TDIC is that the wide range of services supporting innovation are housed under one roof. In other universities, the functions of patenting, industry relationships, applied research programs, startup support, and economic development activities are in separate administrative divisions that oftentimes do not coordinate with one another. However, these functional elements are closely interrelated, and by integrating them within a single organizational unit, OIST can maximize efficiency and is better positioned to respond to the continuously changing innovation landscape.

Current Status, Results, and Impact

- **Intellectual Property**
  The rate of inventions derived from OIST research is increasing. In addition, the increasing number of awarded patents, which lag applications by 3-4 years, points to the high quality of OIST inventions and patent filings. [Document A-1-5]
- **Industry Collaborations**
  Research collaborations with industry have steadily increased as OIST continues to expand its network with private companies, and as more researchers become interested in exploring the commercial applications of their work.
  There are currently 20 projects that include industry partners. Approximately 20% of OIST research units currently participate in collaborations with industry. [Document A-1-6]

- **External Funding for Innovation**
  OIST has increased external funding for its technology development and commercialization activities from industry partners and government grants (Figure 8). The major sources of government support for innovation are the Okinawa Prefectural Government, JST, and MEXT. OIST has also been successful at establishing sponsored and collaborative research with major Japanese companies, including Sony and Fujitsu.
  A significant milestone was achieved in 2017 when OIST concluded its first Collaborative Research Agreement with an international industrial partner based in the U.K. [Document A-1-7]
- **Proof-of-Concept Research**
  By supporting proof-of-concept research, OIST has developed a robust pipeline of technologies that have the potential to be licensed to industry or as seeds for startup venture companies. [Document A-1-8]
- **Entrepreneurship Education and Startups**
  OIST researchers are encouraged and supported to pursue commercialization of research discoveries that meet market needs. For entrepreneurially-minded researchers, TDIC provides entrepreneurship education courses and bi-lingual grant application and grant administration support for them to pursue their startup ideas.

Entrepreneurship Education

Lean Startup Entrepreneurship Workshop: Since 2012, OIST has sponsored 5 entrepreneurship workshops to teach scientists how to build products and services using the Lean Startup methodology of focusing on customer discovery and building minimum viable products. Course instructors are certified trainers of the I-Corps Program (an initiative of the U.S. National Science Foundation: https://www.nsf.gov/news/special_reports/i-corps/) About 80 students, researchers, and staff members have participated in the workshops since 2012.

Professional Development Workshops: OIST organizes workshops throughout the year to strengthen skills and empower researchers to move their breakthrough technologies forward. Researchers have access to the following workshops held annually:

- Project Management for Research
- Microsoft Project software training
- Business Planning
- Lean Startup and Customer Discovery
- Introduction to Intellectual Property for Graduate Students

Innovation Seminar Series: TDIC hosts 2-3 talks per year by serial inventors and experienced entrepreneurs as part of the Innovation Seminar Series. Since 2015, five global innovators have been selected to share their experience and strategies for navigating the commercial world:

- Dr. Gwilym Roberts, Partner, Kilburn & Strode LLP (UK)
- Dr. Scott Brown, CEO, Nexeon (UK)
- Dr. Nancy Hecker-Denschlag (Germany)
- Dr. Richard Roberts, CSO, New England BioLabs (USA)
- Mr. Toshihiko Honkura, CEO, Quantum Biosystems (Japan)

Startups

The first startup company fostered by OIST was founded within 2 years of the establishment of the School Corporation. Okinawa Protein Tomography, founded in

2014 as an Okinawa-based molecular imaging company, was incubated at OIST through a grant from the MEXT "Startups from Advanced Research and Technology Program" (START). Okinawa Protein Tomography currently has 8 employees and has raised more than ¥140M in grants and venture funding.

In 2017, OIST received a second MEXT START grant to incubate its next startup venture company based on novel technologies for the treatment of industrial and agricultural wastewater. [Document A-1-9]

Future Initiatives

OIST is entering a new phase in its growth and development. Having made significant investments to establish 60 research units, sophisticated laboratory facilities, an interdisciplinary graduate school program, and state-of-the-art equipment, OIST is now well-positioned to become an active driver of R&D in the region. It is with this aim that in 2017 in a statement to Prime Minister Shinzo Abe, President Peter Gruss expressed his vision for OIST to, "realize an innovation ecosystem in Okinawa that can take ideas to production and marketing, and provide the basis for future jobs".

- Innovation Incubator

  An important first step to realizing the vision of an innovation ecosystem in Okinawa is for OIST to build a startup incubator facility on its campus that will serve as a visible platform to support OIST startups and to attract talented entrepreneurs, innovative startups, visionary investors, and world-class industries from around the world to Okinawa.

  The Incubator also will serve as a magnet to retain talent in Okinawa. OIST now is training and educating hundreds of researchers. Each year more than 100 complete their work and seek new job opportunities. At present, most of these well-trained scientists leave Okinawa because the available technology jobs are limited. The Incubator facility, and the surrounding innovation ecosystem that will be created, will provide opportunities for entrepreneurial researchers to continue pursuing their ideas in Okinawa. Importantly, not only will talented people be retained in Okinawa, but with the success of new startups, new job opportunities for will be created for Okinawan residents, and outside startups will come to Okinawa, thereby creating a continuous cycle.
- Startup Accelerator Program

  As part of the goal of building a startup incubator facility (as described above), OIST is working to establish a startup accelerator program aimed at incentivizing and attracting talented entrepreneurs to relocate to Okinawa from other regions in Japan and from outside Japan. The Program will be modelled on the best practices of other startup accelerator programs around the world, (of which there are currently more than 3,000).

  OIST will recruit entrepreneurs with innovative ideas for science and technology-based startups and provide them with incentives and support to start their ventures in Okinawa. The key attractive feature of the accelerator program for entrepreneurs is that they will have the opportunity to build their startups in close collaboration with OIST. The advantage for OIST is that the Program will expand the set of diverse talents interacting with OIST researchers. And for Okinawa, recruiting global entrepreneurs to start their ventures here will increase the number of science and technology-based startups on scale beyond that of OIST. [Document A-1-10]
- Sharing Core Research Facilities and Equipment

  OIST is developing mechanisms to share specialized research facilities and equipment

with the scientific community outside of OIST, in Okinawa and beyond. Access to these resources are critical particularly for early-stage startups to facilitate advanced prototyping, imaging, and analysis. The connection to OIST facilities and equipment can also attract talented entrepreneurs to build their startups in Okinawa.

A-1-(2) Policies, organizational structure, efforts, and outcomes of contribution to the local community

OIST is a graduate university opens to the local community, and part of its mission is to contribute to the development of Okinawa. OIST contributes to this goal by conducting campus tours, organizing various public events, and proactively participating and communicating in local events. OIST also promotes children's and students' interest in and understanding of science through science lectures and experiment-based classes given by BOG members, faculty, researchers, and students, and thereby contributes to the local education in science.

Collaboration with local institutions and communities

- OIST coordinates interactions with other institutions in Okinawa that encourage the development of an R&D cluster community. This includes the Okinawa University Consortium, science, technology and industry promotion programs of the Okinawa prefectural government, related roundtables, and other organizations. [Document A-1-11]
- OIST organizes exchange programs by holding science lectures with local core medical institutions such as Chubu Hospital and Nanbu Medical Center and Medical Department of the University of the Ryukyus.
- OIST holds the Open Campus Day at the OIST Campus, as well as promotes the involvement by school students and local residents.
- OIST invites school children in Okinawa to the OIST campus to give them the opportunities to see and learn about cutting-edge research facilities, with the aim of increasing their interests in academic and professional careers in science and technology, as well as promotes the campus visit program for all senior high-schools in Okinawa in close collaboration with the Okinawa Board of Education and individual schools. [Document A-1-12]
- OIST conducts and strengthen visits program for mainland Super Science High Schools, which provide advanced science and technology education programs, in collaboration with the Okinawa prefectural government and tourism organizations.
- OIST organizes as series of talks to all levels of school children given by faculty and other well-known, external scientific figures, as well as organizes the Onna/OIST Children's School of Science in collaboration with Onna Village. [Document A-1-13]
- In order for OIST to be a part of local community, we promote cultural events involving local artists such as Jazz Concerts, Classical Concerts and Art Exhibitions. These activities are to establish opportunities to local artists to perform/exhibit their talents, as well as to give opportunities to many local people to come visit to OIST to enjoy art. [Document A-1-14]
- OIST assists local schools to enhance children's English ability and cross-cultural understanding by facilitating OIST community's contribution to English programs at local schools.

- OIST collaborates with the U.S. Consulate and the Okinawa prefectural government to organize the science event for the high school students' research for enterprise, "SCORE," which is becoming one of the major science education competitions on the island. [Document A-1-15] [Document A-1-16]

The above mentioned actions help the University to ensure that a positive relationship between the University and the citizens, to make the citizens to feel close to the University, encourage them to attend the university's various events, and make them realize the significance of the University located in Okinawa. In order to tackle disinterest in science among students, OIST offers science program for elementary, junior, and high school students including students in Okinawa and students in Super Science High Schools in Japan. These programs offer fun opportunities to touch upon science and English as well, by learning from foreign professors and researchers, which contributes in training the next generation to become researchers and scientists.

(3) Measures for improvement or enhancement on A-1 (the future plan)
OIST established the Office of the Executive Vice President for Sustainable Development of Okinawa in FY2014 to reflect the university's commitment to its founding objective to contribute to the sustainable development of Okinawa, as stipulated in the OIST SC Act, and to promote the development a R&D cluster. Later, in FY2016, the Office evolved into the Technology Development and Innovation Center, and has continued its effort to identify, patent, and promote discoveries in the OIST research laboratories and to build a R&D Cluster in Okinawa.

We will continue to expand collaborative R&D projects with established industry partners and to foster the development of entrepreneurial spin off companies based on OIST intellectual property. We will aim to expand the Proof-of-Concept Program to support the development of OIST inventions towards commercialization. In addition to the existing foundation of network with Japanese partners, international relationships will be expanded.

Also, OIST will continue to enhance collaboration and communication with the local community and local schools and develop the campus as a center for cultural and community activities by contributing to enhance the education in science for local children and students.

[Self-Evaluation for Standard A]
To enhance Okinawa's innovation infrastructure OIST has been fostering a hub of education, research, and industry by developing an R&D cluster. The downstream benefits of such efforts are new jobs, a continual flow of diverse people and creative ideas, and sustainable development of Okinawa in a tangible manner. These benefits require long time to come true, and OIST is still on its way to realize them.

Regarding the organizational system to promote these efforts, OIST has been developing and improving the system to establish the R&D cluster and facilitating industrial collaboration by the introduction and implementation of POC program, by reinforcement of the Office of the Executive Vice President for Technology Development and Innovation.

As a graduate university open to the local community, OIST has been conducting campus tours, organizing various public events, as well as contributing education in science for local children and students through science lectures and experiment-based classes given by OIST faculty, researchers, and students.

Regarding contribution to the local community,
As mentioned above, OIST contributes not only to science education, but also to the development of human resource in Okinawa from an angle of international education by implementing science programs planned by the Community Relations Section and carried out together with faculty and researchers from all over the world. The development of Human resource is an important factor of Okinawa's sustainable development.

Therefore, we conclude that OIST satisfies the standards of Standard A. "Contribution to the Sustainable Development of Okinawa."

V. Other Notable Achievements

1. Acquisition of LEED Silver Certification

In March 2013, through the innovative designs and construction methods, OIST research buildings acquired Green Building Certification (Silver Certification) of LEED (Leadership in Energy & Environmental Design), regarded as one of the international evaluation indices on buildings' environmental function. Domestically, there have been only 32 cases of acquisition to date, and this time, the said certification was given for the first time on any newly constructed building in Okinawa, and also for the first time on any educational facility in Japan. The efforts made for nature conservation related to the development of site, with water saving through reuse of wastewater and indoor air purification mechanism, were highly evaluated.

2. Assisting internationalization of other universities

Since FY 2015, through the "Training Program for Administrative Internationalization," OIST has been contributing to staff members from other universities to promote their internationalization, through opportunities for them to be engaged in administrative work at OIST, international organization structure and administrative environment.

More specifically, through accepting trainee staff members for approximately one-year duration, training is provided on-the-job format at OIST in bilingual administrative environment, as well as participation in various international events to be held on regular and ad-hoc basis. Furthermore, combining with the OIST English classes, OIST has been providing assistance for improving the outside staff members on their English abilities through a well-balanced course of practical operations and class room lectures.

Until today, the total of four trainees, three from Tohoku University and one from Osaka University have been accepted in this OIST program, has been well-received. In the coming future, OIST is to actively accept trainee staff members form other universities as well.

3. Securing excelled young researchers and supporting the University's international community

In order to hire excelled young researchers from overseas, it is essential to develop reliable children's education and living environment for their family members.

At OIST Child Development Center (CDC), Japanese-English bilingual education has been offered to children of Faculty members and employees, especially for young researchers and employees from overseas. The number of children has been increasing from 47 (FY 2013), 73 (FY 2014), 100 (FY 2015), 121 (FY 2016), and to 105 (FY 2017).

Meanwhile, at OIST Resource Center, which is a consultation center on any matters for OIST international community, a wide range of living support has been provided especially for students, employees and their family members who originally came from foreign countries, including the procedures of purchase, sale, repair and inspection of automobiles, agreeing and cancelling of their mobile phone and internet contracts, processing documents at the municipal office (procedures to move in, acquire residency and register for Japanese pension system), residence-related matters (moving in and dealing with troubles) and spouse employment support, etc. On average, we process approximately 50 inquiries and consultations on a daily basis.

In addition, OIST communication and exchange events, such as language exchange and cooking classes are being planned, carried out and managed for OIST community members.

Ⅵ. 法令等の遵守状況一覧（Japanese Only）

学校教育法

	遵守状況	遵守状況の説明	該当基準項目
第 83 条	○	同条に規定された大学の目的に沿って教育研究に取り組んでいる。	1-1
第 85 条	―	本学は標準在学期間を 5 年とする博士課程のみの一貫制大学であるため。	1-2
第 87 条	―	本学は標準在学期間を 5 年とする博士課程のみの一貫制大学であるため。	3-2
第 88 条	○	同条に基づき本学の定めるところにより、科目等履修生の制度を設けている。	3-2
第 89 条	―	本学は標準在学期間を 5 年とする博士課程のみの一貫制大学であり、学部を有していないため。	3-2
第 90 条	―	本学は標準在学期間を 5 年とする博士課程のみの一貫制大学であるため。	2-1
第 92 条	○	同条に基づき組織編成し、教職員は同条に規定された職務に従事している。	3-2 4-1 4-2
第 93 条	○	同条に基づき教授会を設置し、教育研究に関する事項について審議し、意見を述べられるようにしている。	4-1
第 104 条	○	同条に基づき学位を授与している。	3-1
第 105 条	○	本学の学生以外の者を対象とした特別な課程は編成していない。	3-1
第 108 条	―	本学は学部を設置せず、科学技術研究科のみを設置する 5 年一貫制の博士課程を有する大学院大学であるため。	2-1
第 109 条	○	同条に基づき、大学の運営状況等について自己点検及び評価に取り組んでいる。	6-2
第 113 条	○	同条に基づき、事業報告書等により教育研究活動の状況を公表している。	3-2
第 114 条	○	同条に基づき、事務職員及び技術職員はそれぞれ当該職務に従事している。	4-1 4-3
第 122 条	―	本学は標準在学期間を 5 年とする博士課程のみの一貫制大学であり、高等専門学校卒業者に対して編入学を認めていないため。	2-1
第 132 条	―	本学は専修学校終了者に対して編入学を認めていないため。	2-1

学校教育法施行規則

	遵守状況	遵守状況の説明	該当基準項目
第 4 条	○	同条に基づき学則に規定事項を記載している。	3-1 3-2
第 24 条	―	本学は標準在学期間を 5 年とする博士課程のみの一貫制大学であるため。	3-2
第 26 条 第 5 項	○	同条第 5 項に基づき、退学、停学及び訓告の処分の手続を規定している。	4-1
第 28 条	○	同条に規定された「表簿」を概ね備え、規定された期間保存している。	3-2
第 143 条	○	同条の 1 に基づき代議員会等を設置し、代議員会の議決をもつて、教授会の議決とすることができるように規定している。 同条の 2 に基づき一部施設を他大学の利用に供している。 なお、本学は大学の規模拡大途上にあり、大学本体の研究施設に加えて他の研究施設を附置する段階にない。	4-1
第 146 条	○	同条に基づき本学の定めるところにより、科目等履修生の制度を設けている。	3-1
第 147 条	○	第 147 条に基づき卒業を認定している。	3-1
第 148 条	―	本学は標準在学期間を 5 年とする博士課程のみの一貫制大学であるため。	3-1
第 149 条	―	本学は標準在学期間を 5 年とする博士課程のみの一貫制大学であるため。	3-1

第 150 条	—	本学は標準在学期間を 5 年とする博士課程のみの一貫制大学であるため。	2-1
第 151 条	—	本学は標準在学期間を 5 年とする博士課程のみの一貫制大学であるため。	2-1
第 152 条	—	本学は標準在学期間を 5 年とする博士課程のみの一貫制大学であるため。	2-1
第 153 条	—	本学は標準在学期間を 5 年とする博士課程のみの一貫制大学であるため。	2-1
第 154 条	—	本学は標準在学期間を 5 年とする博士課程のみの一貫制大学であるため。	2-1
第 161 条	—	本学は標準在学期間を 5 年とする博士課程のみの一貫制大学であるため。	2-1
第 162 条	—	同条で規定する「転学」制度を有していないため。	2-1
第 163 条	○	同条に基づき始期及び終期を設定している。	3-2
第 164 条	○	同条で規定する「特別課程」を編成していない。	3-1
第 165 条の 2	○	同条の 2 に基づき当該 3 方針を一貫性を持って策定している。	1-2 2-1 3-1 3-2 6-3
第 166 条	○	同条に基づき点検評価体制を整備している。	6-2
第 172 条の 2	○	同条の 2 の規定に基づき当該情報を公表している。	1-2 2-1 3-1 3-2 5-1
第 173 条	○	同条に基づき学長が学位記を授与している。	3-1
第 178 条	—	本学は標準在学期間を 5 年とする博士課程のみの一貫制大学であるため。	2-1
第 186 条	—	本学は標準在学期間を 5 年とする博士課程のみの一貫制大学であるため。	2-1

大学設置基準

	遵守状況	遵守状況の説明	該当基準項目
第 1 条	○	設置基準より低下した状態にならないよう、また、その水準の向上に向けて内部質保証に努めている。	6-2 6-3
第 2 条	○	人材の養成に関する目的その他の教育研究上の目的を学則等に定めている。	1-1 1-2
第 2 条の 2	○	入学者選抜委員会を設け、公正かつ妥当な方法により適切に入学者の選抜を実施している。	2-1
第 2 条の 3	○	適切な役割分担の下で教員と事務職員等の協働により職務を遂行している。	2-2
第 3 条	—	本学は標準在学期間を 5 年とする博士課程のみの一貫制大学であり、学部を有していないため。	1-2
第 4 条	—	本学は標準在学期間を 5 年とする博士課程のみの一貫制大学であり、学部**を有してい**ないため。	1-2
第 5 条	—	本学は標準在学期間を 5 年とする博士課程のみの一貫制大学であり、学部**を有してい**ないため。	1-2
第 6 条	—	本学は標準在学期間を 5 年とする博士課程のみの一貫制大学であり、学部**を有してい**ないため。	1-2 3-2 4-2
第 7 条	○	教育研究上の目的を達成するため、必要な教員を配置し、教員の適切な役割分担の下で、組織的な連携体制を確保し、教育研究に係る責任の所在が明確になるように教員組織を編制している。教員の構成が特定の範囲の年齢に著しく偏ることのないよう配慮し、採用している。	3-2 4-2
第 10 条	○	授業科目については原則として専任の教授又は准教授が担当している。また、演習、実験、実習等を伴う授業科目については、必要に応じてティーチング・アシスタントが補助している。	3-2 4-2

第 11 条	○	**同条に基づき、教育研究上必要であるため、**本学では授業を担当しない教員を置いている。	3-2 4-2
第 12 条	○	同条に基づき、本学教員は専任教員として専ら本学の教育研究に従事している。	3-2 4-2
第 13 条	○	同条に係る別表第一及び第二で規定された収容定員及び専任教員数の条件を満たしている。	3-2 4-2
第 13 条の 2	○	同条の規定する「学長の資格」に基づき選考している。	4-1
第 14 条	○	本学教授は同条で規定されている条件を満たしている。	3-2 4-2
第 15 条	○	本学准教授は同条で規定されている条件を満たしている。	3-2 4-2
第 16 条	—	本学では講師を配置していないため。	3-2 4-2
第 16 条の 2	—	本学では助教を配置していないため。	3-2 4-2
第 17 条	—	本学では助手を配置していないため。	3-2 4-2
第 18 条	○	同条の規定に基づき収容定員は学則で規定されている。	2-1
第 19 条	○	同条の規定に基づき教育課程編成方針を策定している。	3-2
第 20 条	○	各授業科目を必修科目、選択科目及び自由科目に分け、これを各年次に配当して教育課程を編成している。	3-2
第 21 条	○	同条の規定に基づき、講義・演習、実験・実習それぞれにおいて必要時間を計算し、授業科目の単位数を定めている。	3-1
第 22 条	○	1 年間の授業を行う期間は、規定で定められた 35 週の原則を満たしている。	3-2
第 23 条	○	同条の規定に基づき、1 学期当たり 15 週の 3 学期制を採用している。	3-2
第 24 条	○	教育効果を十分あげられるよう、少人数構成のクラス編成を基本とし、学生と教員との非常に密接な交わりを可能にするとともに、教員は学生の経歴や習熟度合いを考慮しつつ、学生個々に合わせた授業を実施している。	2-5
第 25 条	○	授業は、講義、演習、実験、実習のいずれかにより又はこれらの併用により実施している。	2-2 3-2
第 25 条の 2	○	学生に対して、授業の方法・内容・年間授業計画を明示し、また、学修成果の評価に当たっては、その基準を明示し、当該基準にしたがい、必修科目については成績評価を 2 段階（PF）並びに選択科目については成績評価を 4 段階（ABCF）方式及び記述方式の両方で評価している。	3-1
第 25 条の 3	○	授業の内容及び方法の改善を図るため、全教員に対して FD セミナー/ワークショップを開催する等、組織的な研修及び研究を実施している。	3-2 3-3 4-2
第 26 条	—	本学では、現在のところ、昼夜開講制により授業を行っていない。	3-2
第 27 条	○	シラバスで明示しているとおり、試験により単位を与えている。	3-1
第 27 条の 2	○	原則、1 つの学期中に履修できる授業科目は 4 つまでであるが、通常、学生は自身の学習や読書、ローテーションでの研究活動のための時間を確保するために 1 つの学期につき基礎科目又は専門科目を 3 つ以上履修することはない。	3-2
第 28 条	—	本条で規定する単位振替制度を有していない。	3-1
第 29 条	—	本学は標準在学期間を 5 年とする博士課程のみの一貫制大学であるため。	3-1
第 30 条	○	**修士の学位保持者の場合、10 単位以下を修得したものとみなし、20 単位以上を修得することを修了要件としている。**	3-1
第 30 条の 2	—	当該事情による修業年限の延長を認めていないため。	3-2
第 31 条	○	非正規学生カテゴリーの中で科目等履修生として受け入れている。	3-1 3-2
第 32 条	—	本学は標準在学期間を 5 年とする博士課程のみの一貫制大学であるため。	3-1
第 33 条	—	本学は標準在学期間を 5 年とする博士課程のみの一貫制大学であるため。	3-1
第 34 条	—	第 58 条「学校教育法第百三条に定める大学には適用しない」ため。	2-5
第 35 条	—	**第 58 条**「学校教育法第百三条に定める大学には適用しない」ため。	2-5

第 36 条	○	同条に基づき、学長室、研究室、図書館等専用の施設を備えた校舎を有している。第 5 項の体育館については、第 58 条「学校教育法第百三条に定める大学には適用しない」ため、有していない。	2-5
第 37 条	―	第 58 条「学校教育法第百三条に定める大学には適用しない」ため。	2-5
第 37 条の 2	―	第 58 条「学校教育法第百三条に定める大学には適用しない」ため。	2-5
第 38 条	○	同条で定められた教育上必要な資料及び図書館施設等を有している。	2-5
第 39 条	―	本学は標準在学期間を 5 年とする博士課程のみの一貫制大学であり、同条の規定する附属施設設置が義務づけられている「学部」を設置していないため。	2-5
第 39 条の 2	―	本学は標準在学期間を 5 年とする博士課程のみの一貫制大学で、同条の規定する「学部」を設置していないため。	2-5
第 40 条	○	同条に基づき必要な種類及び数の機械、器具及び標本を備えている。	2-5
第 40 条の 2	○	本条に基づき、二以上の校地において教育研究を行っている。	2-5
第 40 条の 3	○	これまでのところ、内閣府を通じ必要な経費を確保しており、教育研究にふさわしい環境の整備に努めている。	2-5 4-4
第 40 条の 4	○	世界最高水準に相応しい名称（「沖縄科学技術大学院大学」）となっている。	1-1
第 41 条	○	本条に基づき、専任の職員を置く適当な事務組織を設けている。	4-1 4-3
第 42 条	○	学生支援セクション及び健康管理センターにおいて厚生補導を行うための専任職員を配置している。	2-4 4-1
第 42 条の 2	○	フラットな組織体制の下、組織間の有機的な連携を図っている。	2-3
第 42 条の 3	○	各職種のニーズに応じた研修等の機会を提供し、必要な知識及び技能を習得させ、並びにその能力及び資質向上を図っている。	4-3
第 43 条	―	本学では本条の規定する「共同教育課程」を有していないため。	3-2
第 44 条	―	本学では本条の規定する「共同教育課程」を有していないため。	3-1
第 45 条	―	本学では本条の規定する「共同教育課程」を有していないため。	3-1
第 46 条	―	本学では本条の規定する「共通学科」を有していないため。	3-2 4-2
第 47 条	―	第 58 条「学校教育法第百三条に定める大学には適用しない」ため。	2-5
第 48 条	―	第 58 条「学校教育法第百三条に定める大学には適用しない」ため。	2-5
第 49 条	―	第 58 条「学校教育法第百三条に定める大学には適用しない」ため。	2-5
第 57 条	―	本学は外国に当該組織を設置していないため。	1-2
第 58 条	○	本学は第百三条に定める大学である。	2-5
第 60 条	○	大学規模の拡大に応じて段階的に整備している。	2-5 3-2 4-2

学位規則

	遵守状況	遵守状況の説明	該当基準項目
第 2 条	―	本学は標準在学期間を 5 年とする博士課程のみの一貫制大学であるため。	3-1
第 10 条	○	研究分野を特定せず、「学術」としている。	3-1
第 13 条	○	ディプロマ・ポリシーに基づき、論文審査の方法、試験及び学力の確認の方法等学位に関し必要な事項を定めている。	3-1

私立学校法

	遵守状況	遵守状況の説明	該当基準項目
第 35 条	○	理事 18 名（うち、理事長 1 名）及び監事 2 名を置いている。	5-2 5-3
第 36 条	○	学園法第 5 条に基づく事項（理事長以外の理事をもって理事会の議長に充てることができる）を除き、同条に基づき寄附行為及び理事会運営規則を定めている。	5-2
第 37 条	○	同条に基づき寄附行為及び理事会運営規則を定めている。	5-2 5-3
第 38 条	○	同条に基づき寄附行為を定め、理事及び監事を選任している。	5-2

第 39 条	○	監事は、理事、評議員又は学校法人の職員と兼ねてはいない。	5-2
第 40 条	○	同条に基づき寄附行為を定め、理事及び監事の定数を確保している。	5-2
第 41 条	○	同条に基づき寄附行為を定め、評議員会を設置している。	5-3
第 42 条	○	同条で規定された項目に従って、理事長は評議員会の意見を聞いている。	5-3
第 43 条	○	同条に基づき寄附行為を定め、評議員会は、本学の業務、財産の状況又は役員の業務執行の状況について、役員に対して意見を述べ、若しくはその諮問に答え、又は役員から報告を徴している。	5-3
第 44 条	○	同条に基づき寄附行為を定め、評議員を選任している。	5-3
第 45 条	○	同条に基づき、寄附行為変更の際、文科省の認可を受けている。ただし、文部科学省令で定める事項に係る寄附行為の変更をしたときは、その旨を文科省に届け出ている。	5-1
第 46 条	○	理事長は、毎会計年度終了後 2 月以内に決算及び事業の実績を評議員会に報告し、その意見を求めている。	5-3
第 47 条	○	本学では、毎会計年度終了後 2 月以内に財産目録、貸借対照表、収支計算書及び事業報告書を作成している。	5-1
第 48 条	○	会計年度は、4 月 1 日から翌年 3 月 31 日である。	5-1

学校教育法（大学院関係）

	遵守状況	遵守状況の説明	該当基準項目
第 99 条	○	同条に規定された大学の目的に沿って教育研究に取り組んでいる。	1-1
第 100 条	○	本学は標準在学期間を 5 年とする博士課程のみの一貫制大学で科学技術研究科を設置している。	1-2
第 102 条	○	同条に基づきアドミッション・ポリシー、学則および PRP において入学資格を定めている。	2-1

学校教育法施行規則（大学院関係）

	遵守状況	遵守状況の説明	該当基準項目
第 155 条	○	同条 1 の第 7 及び 8 項に基づき、学則および PRP において入学資格を定めている。	2-1
第 156 条	○	同条に基づき学則および PRP において入学資格を定めている。	2-1
第 157 条	○	同条に基づき学則および PRP において入学資格を定めている。	2-1
第 158 条	○	同条に基づき点検及び評価を実施している。（結果公表予定）	2-1
第 159 条	○	同条に基づき学則および PRP において入学資格を定めている。	2-1
第 160 条	○	同条に基づき学則および PRP において入学資格を定めている。	2-1

大学院設置基準

	遵守状況	遵守状況の説明	該当基準項目
第 1 条	○	同条の規定に従い設置し、設置基準より低下した状態にならないようにすることはもとより、その水準の向上に取り組んでいる。	6-2 6-3
第 1 条の 2	○	本学学則第 1 条において、「国際的に卓越した科学技術に関する教育研究を行い、もって沖縄、日本ひいては世界の科学技術の発展に寄与すること」と定めている。	1-1 1-2
第 1 条の 3	○	入学者の選抜は、本学のアドミッション・ポリシーに沿って、国際舞台で科学研究の指導者となる可能性及び意欲を持つ優秀な学生を獲得するため、公募、書類選考、教員によるマンツーマン・インタビュー（1 受験生に対し教員 5 名以上）及び入学者選抜委員会の審査を経て、適切に実施している。	2-1
第 1 条の 4	○	本学の教育研究活動等の組織的かつ効果的な運営を図るため、教員と事務職員等との適切な役割分担の下で協働体制を構築し、職務を遂行している。	2-2
第 2 条	○	本学は標準在学期間を 5 年とする博士課程のみの一貫制大学で科学技術研究科を設置している。	1-2

第 2 条の 2	―	本学は標準在学期間を 5 年とする博士課程のみの一貫制大学で、同条で規定する夜間の課程は設置していないため。	1-2
第 3 条	―	本学は標準在学期間を 5 年とする博士課程のみの一貫制大学で、同条で規定する修士課程を設置していないため。	1-2
第 4 条	○	同条に規定された博士課程の目的に沿って、修行年数 5 年の博士課程（前期・後期の区分なし）を設置している。	1-2
第 5 条	○	本学研究科の規模は、専攻の種類及び数、教員数及び教員学生比率（1:2～1:3）等に照らし適切である。	1-2
第 6 条	○	本学は標準在学期間を 5 年とする博士課程のみの一貫制大学であり、科学技術研究科に科学技術専攻を設置している。	1-2
第 7 条	―	本学では、同条の規定する「学部、大学附置の研究所等」を有していないため。	1-2
第 7 条の 2	―	本学では同条の規定する、「二以上の大学が協力して教育研究を行う研究科」を設置していないため。	1-2 3-2 4-2
第 7 条の 3	―	本学では同条のただし書で規定する「研究科以外の教育研究上の基本となる組織」を有していないため。	1-2 3-2 4-2
第 8 条	○	同条第 3 項、第 4 項及び第 6 項を除き、同条で規定された教員組織を適切に構築している。	3-2 4-2
第 9 条	○	同条で規定された資格を有し、第 2 項で規定された教員を必要数確保している。	3-2 4-2
第 10 条	○	科学技術専攻科のみの大学（1 学年 50 名）で、教育研究にふさわしい環境の確保のため、在学する学生の数を学則に定める収容定員に基づき適正に管理している。	2-1
第 11 条	○	同条に基づきカリキュラム・ポリシーを策定し、公表している。	3-2
第 12 条	○	本学では、各学生の研究分野に応じて、授業（基礎科目、専門科目及び自由科目）、ラボ・ローテション及び研究ユニットでの実習等を組み合わせ、指導を行っている。	2-2 3-2
第 13 条	○	同法第九条の規定により置かれる教員が研究指導を行っている。	2-2 3-2
第 14 条	○	本学は、教育・研究上、特別の必要がある場合には、適当な方法により夜間その他特定の時間又は時期においても授業・研究指導を行っている。	3-2
第 14 条の 2	○	同条に基づき、年間の授業及び研究指導の計画をあらかじめ明示するとともに、学修の成果及び学位論文に係る評価並びに修了の認定に当たっては、ディプロマ・ポリシーを策定し、それに沿って行われている。	3-1
第 14 条の 3	○	本学では、授業及び研究指導の内容及び方法の改善を図るため、FD の取り組みとして、組織的な研修及び研究を行っている。	3-3 4-2
第 15 条	○	同条に基づき大学設置基準の当該条項を準用している。	2-2 2-5 3-1 3-2
第 16 条	―	本学は標準在学期間を 5 年とする博士課程のみの一貫制大学で、同条で規定する修士課程は設置していないため。	3-1
第 17 条	○	同条の規定に基づき、学則第 35 条及び PRP5.3.13 で博士課程の修了要件を設定している。	3-1
第 19 条	○	本学では、教育研究に必要な専用の講義室、研究室、実験・実習室、演習室等を備えている。	2-5
第 20 条	○	本学では、教員数及び学生数に応じて必要な種類及び数の機械、器具及び標本を備えている。	2-5
第 21 条	○	本学では、図書、学術雑誌、視聴覚資料その他の教育研究上必要な資料を系統的に整理して備えている。	2-5
第 22 条	―	本学では、同条の規定する「学部、大学附置の研究所等の施設及び設備」を有していないため。	2-5
第 22 条の 2	○	本学では、二以上の校地において教育研究を行っており、それぞれの校地ごとに教育研究に支障のないよう必要な施設及び設備を備えている。	2-5

第 22 条の 3	○	本学では、教育研究上の目的を達成するため、必要な経費を確保し、教育研究にふさわしい環境の整備に取り組んでいる。	2-5 4-4
第 22 条の 4	○	本学の「科学技術研究科」という名称は、研究科として適当であるとともに、教育研究上の目的にふさわしいものである。	1-1
第 23 条	○	本学（独立大学院）の研究科の種類及び数、教員数その他は、教育研究上の目的に応じ適当な規模内容を有している。	1-1 1-2
第 24 条	○	本学は、教育研究上の必要に応じた十分な規模の校舎等の施設を有している。	2-5
第 29 条	―	同条の規定する「通信教育を行う課程」を設置していないため。	2-5
第 31 条	―	同条の規定する「共同教育課程」を有していないため。	3-2
第 32 条	―	同条の規定する「共同教育課程」を有していないため。	3-1
第 33 条	―	同条の規定する「共同教育課程」を有していないため。	3-1
第 34 条	―	同条の規定する「共同教育課程」を有していないため。	2-5
第 42 条	○	本学では事務を遂行するため、適当な事務組織を設けている。	4-1 4-3
第 43 条	○	本学では、職員に必要な知識及び技能を習得させ、並びにその能力及び資質を向上させるため、必須研修及び各専門分野における研修の機会を設けている。	4-3
第 45 条	―	同条の規定する「外国に研究科、専攻その他の組織」を設置していないため。	1-2
第 46 条	―	当初より博士課程のみの一貫制大学を設置しているため。	2-5 4-2

学位規則（大学院関係）

	遵守状況	遵守状況の説明	該当基準項目
第 3 条	○	同条に基づき、本学学則第 37 条第 3 項に規定しているとおり、修士の学位を授与している。	3-1
第 4 条	○	同条に基づき博士の学位を授与している。	3-1
第 5 条	○	同条に基づき学位の授与に係る審査について他の大学院又は研究所等の教員等の協力を得ている。	3-1
第 12 条	○	同条に基づき学位授与日から 3 カ月以内に、学位授与報告書を文部科学大臣に提出する手続きを適切に行っている。	3-1

※「遵守状況」の欄に、法令等の遵守の状況を「○」「×」で記載し、該当しない場合は「―」で記載すること。
※「遵守状況の説明」は簡潔に記載すること。

VII. List of Evidence

List of Evidence (Data)

Code	Title	Remarks
【Common Basic】	Common Basic Data for Institutional Evaluation for Accreditation	
[Table F-1]	Name of President/CEO, etc	
[Table F-2]	Summary of attached schools and attached institutions [Not applicable]	Not applicable
[Table F-3]	Summary of external assessments conducted	
[Table 2-1]	Numbers of students enrolled by faculty and department (during the past five years） [Not applicable]	Not applicable
[Table 2-2]	Numbers of students enrolled by Graduate School and Courses (during the past five years）	
[Table 2-3]	Changes in the numbers of students who withdrew from the University by faculty and department (during the past three years)	
[Table 2-4]	Use of the employment counseling office or the like	
[Table 2-5]	Employment (during the past three years)	
[Table 2-6]	Students' career choices after graduation (results for the previous year)	
[Table 2-7]	Scholarships awarded, and student loans granted, by the University on its own (tuition exemption system) (results for the previous year)	
[Table 2-8]	Support for students' extracurricular activities (results for the previous year)	
[Table 2-9]	Use of the student counseling room, doctor's room, etc	
[Table 2-10]	Summary of attached facilities (excluding libraries) [Not applicable]	Not applicable
[Table 2-11]	Libraries	
[Table 2-12]	Information centers, etc [Not applicable]	Not applicable
[Table 3-1]	Syllabus	
[Table 3-2]	Performance evaluation standards	
[Table 3-3]	Number of credits earned (results for the previous	
[Table 3-4]	Upper limit to the number of credits that can be earned and registered annually and requirements (number of credits required) for moving up to the next grade or graduation (completion)	
[Table 4-1]	Percentage of full-time teachers to the sum of full-time teachers and part-time teachers who also teach at another university for subjects offered by the faculty or department	
[Table 4-2]	Number and composition of personnel (by regular employee, temporary worker, part-time worker, and agency temp; by sex; and by age)	
[Table 5-1]	Disclosure of financial information (results for the previous year)	
[Table 5-2]	Ratios related to the consumption statements of income and expenditure (which cover the entire corporation)	
[Table 5-3]	Ratios related to the statement of income and expenditure for business activities (which covers the entire corporation)	
[Table 5-4]	Ratios related to the consumption statement of income and expenditure (for the University alone) [Not applicable]	Not applicable
[Table 5-5]	Ratios related to the statement of income and expenditure for business activities (for the University alone) [Not applicable]	Not applicable
[Table 5-6]	Ratios related to the balance sheet (which covers the entire corporation)	
[Table 5-7]	Ratios related to the balance sheet (which covers the entire corporation)	
[Table 5-8]	Financial assets compared to amounts required to be saved (for the entire corporation) (during the past five years)	

List of Evidence (Documents)
Basic Information

Code	Title	
	Appropriate document and the corresponding page	Remarks
【Document F-1】	Bylaws	
	Okinawa Institute of Science and Technology School Corporation Bylaws	
【Document F-2】	University Guide	
	OIST Brochure	
【Document F-3】	University Rules	
	Okinawa Institute of Science and Technology Graduate University University Rules	
【Document F-4】	Application Guideline and Admission Policy	
	Library of Policies, Rules & Procedures (PRP) (Chapter 5 Graduate School Handbook, 5.2.3 Selection for admission, 5.10.1Admission Committee)	
【Document F-5】	Student Handbook	
	Library of Policies, Rules & Procedures (PRP) (Chapter 5 Graduate School Handbook)	
【Document F-6】	Business Plan	
	FY2018 Business Plan	
【Document F-7】	Performance Report	
	FY2016 Performance Report	
【Document F-8】	Access Map, Campus Map etc.,	
	Access Map	
【Document F-9】	Regulation List of University and School Corporation (Table of Contents of Regulations)	
	Library of Policies, Rules & Procedures (PRP) (Table of Contents)	
【Document F-10】	Name List of Members of BOG, Auditors, BOC (Internal/External) and BOG/BOC Information (Meeting Dates, Number of Meetings, Number of Participants etc.,)	
【Document F-11】	Financial Statement and Audit Report (Last 5 years)	
	FY2012 - FY2016 Financial Statement and Audit Report	
【Document F-12】	Course Guideline and Syllabus (Electronic Data)	
	Program Overview	
【Document F-13】	Three policies	
	OIST Graduate Scholl Three Policies	
【Document F-14】	Response to the comments on MEXT After-care survey	
	Result on FY2017 MEXT After-care survey	
【Document F-15】	Response to the comments on JIHEE Accreditation and Evaluation	
	N/A	

Standard 1. Mission and Goals, etc.

Evaluation Standard Items		
Code	Evidence material	Executives in-charge
1-1 Defining the mission, goals, and educational objectives		
[Document 1-1-1]	Okinawa Institute of Science and Technology School Corporation Act (Act No.76 of 2009)	
[Document 1-1-2]	Okinawa Institute of Science and Technology Graduate University University Rules	Refer to【Document F-3】
[Document 1-1-3]	Okinawa Institute of Science and Technology Graduate University Framework Document II	

[Document 1-1-4]	Library of Policies, Rules & Procedures (PRP) Chapter 1	Refer to【Document F-9】
[Document 1-1-5]	Website (Ideals and Guiding Principles, Mission Statement) http://www.oist.jp/ja/oist%E3%81%A8%E3%81%AF	
[Document 1-1-6]	Purpose of Establishment	
[Document 1-1-7]	Okinawa Institute of Science and Technology School Corporation Bylaws	Refer to【Document F-1】
[Document 1-1-8]	**OIST Website (OIST in a Nutshell)** **https://www.oist.jp/oist-nutshell**	
[Document 1-1-9]	Report of the External Peer Review Panel to the OIST Graduate University Board of Governors following the Review held at the OIST Campus on July 27-29, 2015	
[Document 1-1-10]	5th Science and Technology Basic Plan http://www8.cao.go.jp/cstp/kihonkeikaku/5honbun.pdf	
1-2 Reflection of the mission, goals, and educational objectives		
[Document 1-2-1]	An example of Application Guidelines	
[Document 1-2-2]	Okinawa Institute of Science and Technology School Corporation Act (Act No.76 of 2009) Article 1	Refer to【Document 1-1-1】
[Document 1-2-3]	Website (Three Policies) https://groups.oist.jp/grad/oist-graduate-school-three-policies	Refer to【Document F-13】
[Document 1-2-4]	Library of Policies, Rules & Procedures (PRP) Chapter 5	
[Document 1-2-5]	Okinawa Institute of Science and Technology Graduate University Framework Document II	Refer to【Document 1-1-3】
[Document 1-2-6]	FY2018 Business Plan	Refer to【Document F-6】
[Document 1-2-7]	Website (Three Policies) https://groups.oist.jp/grad/oist-graduate-school-three-policies	Refer to【Document F-13】

Standard 2. Students

Evaluation Standard Items		
Code	Evidence material	Executives in-charge
2-1 Admission of students		
[Document 2-1-1]	Website (Admissions Policy) https://admissions.oist.jp/ja/admissions-policy	Refer to【Document 1-2-7】
[Document 2-1-2]	Library of Policies, Rules & Procedures (PRP) Chapter 5.2	Refer to【Document F-9】
[Document 2-1-3]	Website (Admission) https://admissions.oist.jp/application-process	
[Document 2-1-4]	Website (Professional Development 3 and 5 Course Information) https://groups.oist.jp/grad/pd3 https://groups.oist.jp/grad/pd5	
[Document 2-1-5]	Okinawa Institute of Science and Technology Graduate University Framework Document II Chapter 3.1	Refer to【Document 1-1-3】
[Document 2-1-6]	Report of the External Peer Review Panel to the OIST Graduate University Board of Governors following the Review held at the OIST Campus on July 27-29, 2015	Refer to【Document 1-1-9】
[Document 2-1-7]	Library of Policies, Rules & Procedures (PRP) Chapter 3.2.4	Refer to【Document F-9】
[Document 2-1-8]	Library of Policies, Rules & Procedures (PRP) Chapter 5.2.3	Refer to【Document F-9】
2-2 Support for learning		
[Document 2-2-1]	An example of collaboration among administration and faculty (November 2016 Faculty Assembly Minutes)	
[Document 2-2-2]	Teaching Resource Coordinator Job Description	
[Document 2-2-3]	Examinations, Research Progress, and Degree Completions Coordinator Job Description	
[Document 2-2-4]	Website (Ganjuu Welbeing Service) https://groups.oist.jp/ganjuu	

[Document 2-2-5]	Form of the class evaluation questionnaire by students https://groups.oist.jp/grad/student-evaluation-teaching	
2-3 Career guidance		
[Document 2-3-1]	Library of Policies, Rules & Procedures (PRP) Chapter 5.1.3	
[Document 2-3-2]	Website (Employment and Internship Opportunities)	
[Document 2-3-3]	List of succeding organizations and instutusions	
2-4 Student services		
[Document 2-4-1]	Library of Policies, Rules & Procedures (PRP) Chapter 5.1.2 Website (Resource Center) https://groups.oist.jp/ja/resource-center/services	Refer to【Document F-9】
[Document 2-4-2]	Information on awarded scholarships	Refer to [table 2－7]
[Document 2-4-3]	Website (Medical Center) https://groups.oist.jp/medical	
[Document 2-4-4]	Website (Child Development Center） https://groups.oist.jp/cdc	
[Document 2-4-5]	Website (Village Center) (Housing） https://www.oist.jp/housing	
2-5 Development of the educational environment		
[Document 2-5-1]	Website (Master Plan) https://www.oist.jp/master-plan	
[Document 2-5-2]	Design and layout to encourage interdisciplinary and interaction among students and researchers (photos and figures)	
[Document 2-5-3]	Website (Equipment Gallery) https://groups.oist.jp/a5.3.13rs/research-equipment-gallery-behavior	
[Document 2-5-4]	Library of Policies, Rules & Procedures (PRP) Chapter 6	Refer to【Document F-9】
[Document 2-5-5]	OIST's disaster and fire prevention plan	
2-6 Response to students' opinions and requests		
[Document 2-6-1]	Agenda Items for September/October 2017 DGS-Student Council Meetings (Note from the Student Council Secretary to the Graduate School)	

Standard 3. Educational Curriculum

Evaluation Standard Items		
Code	Evidence material	Executives in-charge
3-1 Accrediting, graduation certification, and completion certification		
[Document 3-1-1]	Library of Policies, Rules & Procedures (PRP) Chapter 5.3.13	Refer to【Document F-9】
[Document 3-1-2]	Website (Courses) https://admissions.oist.jp/courses	
[Document 3-1-3]	Library of Policies, Rules & Procedures (PRP) Chapter 5.3.9	Refer to【Document F-9】
[Document 3-1-4]	Library of Policies, Rules & Procedures (PRP) Chapter 3.11	Refer to【Document F-9】
[Document 3-1-5]	Library of Policies, Rules & Procedures (PRP) Chapter 5.3.11.3	Refer to【Document F-9】
[Document 3-1-6]	Website (Diploma Policy) https://groups.oist.jp/grad/oist-graduate-school-three-policies	Refer to【Document F-16】
[Document 3-1-7]	Website (Guidelines on the preparation and submission of OIST theses) https://groups.oist.jp/sites/default/files/imce/ u137/Forms/ Guidelines%20on%20thesis%20preparation.pdf	
[Document 3-1-8]	Library of Policies, Rules & Procedures (PRP) Chapter 5.3.13.4.1	Refer to【Document F-9】
[Document 3-1-9]	Form for Chair's Report of the Thesis Examination Panel	
[Document 3-1-10]	Library of Policies, Rules & Procedures (PRP) Chapter 5.3.15	Refer to【Document F-9】
3-2 Educational curriculum and teaching methods		
[Document 3-2-1]	Website (Curriculum Policy) https://groups.oist.jp/grad/oist-graduate-school-three-policies	Refer to【Document F-13】
[Document 3-2-2]	Website (Course list) https://groups.oist.jp/ja/grad/courses-term-0	
3-3 Inspecting and evaluating learning outcomes		

[Document 3-3-1]	Agenda of 28th meeting of Curriculum and Examinations Committee (CEC)	
[Document 3-3-2]	Evaluation standards (Grades/A-B-C-F and texts)	Refer to [Table 3-2]
[Document 3-3-3]	OIST Alumni Registration Form	
[Document 3-3-4]	Website (Student Evaluation of Teaching) https://groups.oist.jp/grad/student-evaluation-teaching	Refer to【Document 2-2-5】

Standard 4. Faculty and Staff

Evaluation Standard Items		
Code	Evidence material	Executives in-charge
4-1 Functionality of the academic management		
[Document 4-1-1]	Library of Policies, Rules & Procedures (PRP) Chapter 2.5	Refer to【Document F-9】
[Document 4-1-2]	Library of Policies, Rules & Procedures (PRP) Chapter 1.4.1-4	Refer to【Document F-9】
4-2 Teacher assignment and faculty development		
[Document 4-2-1]	Faculty list (research field, sex, age, nationality)	
[Document 4-2-2]	Website (Research Units) https://www.oist.jp/research-units	
[Document 4-2-3]	Library of Policies, Rules & Procedures (PRP) Chapter 3.2	Refer to【Document F-9】
[Document 4-2-4]	Guidelines for quality teaching	
[Document 4-2-5]	Questionnaire form for quality teaching and specific actions taken for the improvement based on the questionnaire result	
[Document 4-2-6]	Draft guidelines for peer review of teaching	
[Document 4-2-7]	List of the Thesis Committee membership (by professor rank)	
[Document 4-2-8]	Examples of conducted FD training sessions, seminars conducted by external experts and workshops for FD	
[Document 4-2-9]	List of conducted internal workshops and seminars for FD	
4-3 Staff training		
[Document 4-3-1]	OIST New Faculty Development	
[Document 4-3-2]	OIST Management Forum	
[Document 4-3-3]	Form for HR Performance Evaluation	
4-4 Research support		
[Document 4-4-1]	Website (Description Regarding Responsibilities and Duties) https://www.oist.jp/policy-library/2.5	
[Document 4-4-2]	Example of survey system on the faculty's and students' satisfaction for research environment and specific actions taken for the improvement based on the survey result	
[Document 4-4-3]	Library of Policies, Rules & Procedures (PRP) Chapter 4.9	Refer to【Document F-9】
[Document 4-4-4]	Library of Policies, Rules & Procedures (PRP) Chapter 9.2	Refer to【Document F-9】
[Document 4-4-5]	Research ethics education materials and attendance record of the trainings	
[Document 4-4-6]	Resource allocation system for research activities and the allocation in FY2018	
[Document 4-4-7]	Measures and efforts to obtain external fundings	

Standard 5. Management, Administration and Finance

Evaluation Standard Items		
Code	Evidence material	Executives in-charge
5-1 Discipline and integrity in management		
[Document 5-1-1]	Okinawa Institute of Science and Technology Graduate University Framework Document II	Refer to【Document 1-1-3】
[Document 5-1-2]	Library of Policies, Rules & Procedures (PRP) Chapter 1.3	Refer to【Document F-9】
[Document 5-1-3]	FY 2018 Business Plan	Refer to【Document F-6】
[Document 5-1-4]	Okinawa Institute of Science and Technology School Corporation Bylaws	Refer to【Document F-1】
[Document 5-1-5]	Okinawa Institute of Science and Technology School Corporation Act (Act No.76 of 2009)	Refer to【Document 1-1-1】

[Document 5-1-6]	Website (FY 2016 Business Report) https://groups.oist.jp/ja/acd/information-disclosure	
[Document 5-1-7]	Examples and references regarding conscientious recycling and appropriate handling and disposal of hazardous waste and other waste materials	
[Document 5-1-8]	Examples of energy conservation efforts	
[Document 5-1-9]	Disaster and Emergency Preparedness plan and training records	
[Document 5-1-10]	“Equality and Diversity” brochure	
[Document 5-1-11]	Faculty Search Committee Handbook	
[Document 5-1-12]	Information on OIST Unconscious Bias Training Tool	
[Document 5-1-13]	Library of Policies, Rules & Procedures (PRP) Chapter 22, 23, 39	Refer to【Document F-9】
5-2 Functions of the Board of Governors		
[Document 5-2-1]	Okinawa Institute of Science and Technology School Corporation Act (Act No.76 of 2009)	Refer to【Document 1-1-1】
[Document 5-2-2]	Rules of Operation for the Board of Governors	
[Document 5-2-3]	Library of Policies, Rules & Procedures (PRP) Chapter 2.2	Refer to【Document F-9】
[Document 5-2-4]	References on BOG meetings (meeting records in the past, attendance, minutes)	
[Document 5-2-5]	Okinawa Institute of Science and Technology School Corporation Bylaws Chapter 6	Refer to【Document F-1】
5-3 Facilitation and cross-checking of administration and operation		
[Document 5-3-1]	Rules of Operation for the Board of Governors	Refer to【Document 5-2-2】
[Document 5-3-2]	Okinawa Institute of Science and Technology School Corporation Bylaws	Refer to【Document F-1】
[Document 5-3-3]	Attendance records of Councilors in BOC meetings	
[Document 5-3-4]	Inquiries records to the BOC meetings	
[Document 5-3-5]	Library of Policies, Rules & Procedures (PRP) Chapter 3.3	Refer to【Document F-9】
5-4 Financial base and fiscal balance		
[Document 5-4-1]	Okinawa Institute of Science and Technology Graduate University Framework Document II Chapter 4	Refer to【Document 1-1-3】
[Document 5-4-2]	FY 2018 Business Plan, “Income and Expenditure Budget Plan, Projected Balance Sheet, and Projected Income Statement”	Refer to【Document F-6】
[Document 5-4-3]	Library of Policies, Rules & Procedures (PRP) Chapter 27	Refer to【Document F-9】
[Document 5-4-4]	FY2016 Budget Income and Expense Statement	Refer to【Document F-11】
[Document 5-4-5]	FY2016 Profit and Loss Statements	Refer to【Document F-11】
[Document 5-4-6]	Guideline for the Granting of Subsidies for OIST	
5-5 Accounting		
[Document 5-5-1]	Article 2 of the Regulations on the Submission of Accounts of Article 24 of the Board of Audit Act	
[Document 5-5-2]	Article 15 of the Bylaws, “Duties of Auditors”	Refer to【Document F-1】
[Document 5-5-3]	Article 12 of the OIST SC Act, “Preparation of Documents, etc.”	Refer to【Document 1-1-1】
[Document 5-5-4]	FY2016 Report of external auditor	

Standard 6. Internal Quality Assurance

Evaluation Standard Items		
Code	Evidence material	Executives in-charge
6-1 Organizational system for internal quality assurance		
[Document 6-1-1]	Report of the External Peer Review Panel to the OIST Graduate University Board of Governors following the Review held at the OIST Campus on July 27-29, 2015	Refer to【Document 1-1-9】
[Document 6-1-2]	Study Group on Future Challenges of the Okinawa Institute of Science and Technology School Corporation http://www8.cao.go.jp/okinawa/4/oist-yushikisya.html	

[Document 6-1-3]	FY 2018 Business Plan	Refer to【Document F-6】
6-2 Self-inspection and evaluation for internal quality assurance		
[Document 6-2-1]	FY 2018 Business Plan	Refer to【Document F-6】
[Document 6-2-2]	Report of the External Peer Review Panel to the OIST Graduate University Board of Governors following the Review held at the OIST Campus on July 27-29, 2015	Refer to【Document 1-1-9】
6-3 Functionality of internal quality assurance		
[Document 6-3-1]	Okinawa Institute of Science and Technology School Corporation Act (Act No.76 of 2009)	Refer to【Document 1-1-1】
[Document 6-3-2]	Okinawa Institute of Science and Technology Graduate University Framework Document II	Refer to【Document 1-1-3】
[Document 6-3-3]	FY 2018 Business Plan	Refer to【Document F-6】
[Document 6-3-4]	FY 2017 Business Report	Refer to【Document F-7】

Standard A. Contribution to the Sustainable Development of Okinawa

Evaluation Standard Items		
Code	Evidence material	Executives in-charge
A-1 Policies, organizational structure, efforts, and outcomes of social collaboration		
[Document A-1-1]	Model technology transfer process for bringing inventions	
[Document A-1-2]	General process for invention disclosure and evaluation	
[Document A-1-3]	Overview of the Proof-of-Concept Research Program	
[Document A-1-4]	The landscape of Proof-of-Concept Research within the overall research enterprise at OIST	
[Document A-1-5]	Patent Status	
[Document A-1-6]	Research collaborations with industry	
[Document A-1-7]	Total external funding received and committed from industry sponsors and government grants for R&D projects with industrial collaborators. (Estimates are based on committed funds through July 2017.)	
[Document A-1-8]	Proof-of-Concept Research projects	
[Document A-1-9]	Website of Okinawa Protein Tomography Ltd., http://www.okinawa-pt.com/english2.html	
[Document A-1-10]	General model of a startup venture accelerator program	
[Document A-1-11]	Bylaws of the Okinawa University Consortium and its outline	
[Document A-1-12]	Campus visit program for senior high-schools in Okinawa	
[Document A-1-13]	Onna/OIST Children's School of Science	
[Document A-1-14]	List of cultural events organized in the past	
[Document A-1-15]	Guideline for conducting the science event, "SCORE"	
[Document A-1-16]	Guideline for conducting the science event, "SCORE"	