

## **Progress of Recurrence Prevention Measures Following Former Employee Misconduct and Strengthened Control over Procurement Operation (As of February 1, 2026)**

Regarding the recurrence prevention measures and strengthened procurement controls announced on June 12, 2025, following the misconduct by a former employee, the progress status as of February 1, 2026, is indicated in *italics* for each item.

### 1. Specific measures to be taken by OIST to prevent recurrence

#### (1) Strengthening internal checks and balances

- We will regularly rotate personnel, including managerial-level and responsible staff in the departments involved in initiating, executing, and supervising large contracts.
- Additionally, the responsible executives and the Human Resources Division will conduct periodic interviews with these staff to confirm proper execution of their duties.

*Interviews with the managers in the divisions identified based on the FY 2024 purchasing records were completed in January 2026. We are currently analyzing and organizing the information gathered from these interviews to formulate a specific rotation plan. After completing the analysis, we will identify the positions targeted for regular personnel rotation, formulate the rotation plan, and proceed with the first personnel rotation scheduled for April 1, 2026.*

#### (2) Early detection of inappropriate conduct

- Whistleblowing: We will publicize an external reporting channel for our contractors and vendors and promote its use.

*On July 24, 2025, we notified 357 suppliers of goods, services, and construction work about the Whistleblowing Hotline.*

*On July 26, 2025, the link to the Whistleblowing Hotline on the OIST external website was moved to the bottom of the homepage to make it more easily visible.*

*Furthermore, the Whistleblowing Hotline has been included on every individual procurement order sent by OIST to all suppliers. The modification of the procurement management electronic system was completed on November 20, 2025, and the reporting channel has been communicated to all suppliers with whom OIST has business relationships.*

- For staff below managerial level, who were not covered by this investigation, we will act to ensure that relationships with contractors are ethical and compliant.

*A questionnaire survey identical to the one administered to university staff at the managerial level and above during the investigation by the Third-Party Investigation Committee was conducted for staff below the managerial level, with a response deadline of the end of October 2025. The survey results did not identify any matters of concern.*

- We will conduct targeted internal audits and implement periodic surveys (approximately once every few years) to proactively identify and deter potential misconduct.

*An anonymous survey was conducted among staff members below management level, with a deadline of the end of October 2025, asking whether they had witnessed other OIST officers or staff receiving entertainment, money, or other benefits from business partners related to their duties, or providing favors to such partners. Some survey results indicated some issues requiring additional attention. An internal audit is being conducted and other necessary actions will follow.*

### (3) Strengthening awareness that inappropriate behavior will be uncovered

- We will review and enhance the ethics education program, strengthening guidance for staff and implementing appropriate improvements.

*OIST has long conducted mandatory training for all staff on the appropriate execution and management of public research funds, which included ethical considerations. However, as this training was not designed as a comprehensive “ethics education,” it was insufficient to instill the fundamental ethical principles necessary for staff to perform their duties at an institution like ours, which relies heavily on public funding. Therefore, we have decided to implement new ethics training for all staff, organizing ethical judgments that should be shared across the entire organization and points that should always be kept in mind. We completed the training materials by the end of November 2025 and began online training in early December. The course completion rate as of February 1 is 48%. We will evaluate its effectiveness early next fiscal year and further enhance it, including through seminar-style training conducted by external experts.*

## 2. Strengthening controls over procurement operations

- (1) Starting this fiscal year, we have begun splitting orders for facility maintenance and management services. With input from external experts in public sector facility management, we will comprehensively review procurement specifications from scratch and further advance order splitting.

*For fiscal year 2025, facility maintenance and management services, including security and cleaning, were contracted as a single comprehensive service using the overall evaluation method. For fiscal year*

2026, the contract will be divided into three separate contracts: ① Facilities Maintenance Services, ② Security Services, and ③ Cleaning Services. Each will be contracted using the overall evaluation method. The bid announcement was made on November 6. Multiple bidders submitted proposals for all three contracts. Bids were opened on December 23, and contract procedures are currently underway with the selected vendors.

Regarding other small-scale contracts related to facility maintenance (planting, linen washing/replacement, etc.), these have been split and contracted using the general competitive bidding method since fiscal year 2025, and the same method is also planned for fiscal year 2026.

- (2) For projects with long-term sole-source contracts, we will conduct internal audits to verify their appropriateness and validity, encourage competitive bidding by multiple parties, and reduce sole-source contracts or single bids to ensure competition.

An internal audit was conducted by the end of October regarding ongoing single-source contracts. *The results* confirmed that the reasons for continuing these contracts were appropriately and reasonably explained based on university regulations, and that the contract terms were generally fair when compared to market standards.

Furthermore, regarding bidding and contracting at OIST, we have decided to have external experts review and evaluate these processes from perspectives such as compliance and best practices. Based on their insights, we will also receive strategic advice and recommendations. To this end, we have established a Procurement Compliance Monitoring Committee, with the first committee meeting scheduled for February 4, 2026.

- (3) While construction-related contracts have been handled by the Facilities Management Division, we will centralize procurement management university-wide. Facilities Management will remain responsible only for defining the content of items, services, and construction to be procured and submitting purchase requests via the system. Procedures for bidding and contract conclusion will be transferred to the Finance Division.

Effective October 1, 2025, the Contract and Budget Section, including its personnel, was transferred from the Facility Management Division to the Finance Division.

- (4) Referring to rationalization plans for independent administrative institutions, we will compile an overview and characteristics of OIST's procurement and continuously apply a PDCA (Plan, Do, Check, Action) cycle for further procurement rationalization.

We are formulating a procurement rationalization plan with the aim of implementation starting in fiscal year 2026. We are drafting this plan with reference to the procurement rationalization plan of RIKEN. Going forward, after the Procurement Compliance Monitoring Committee begins its activities, we will incorporate its opinions as we proceed with the formulation work.