Authority: Approved by the Provost and the President

Chapter 4: Research Activities

4.1 Policy

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

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

All researchers are expected to comply with legal and regulatory requirements and uphold the highest standards of research ethics and integrity. It is the responsibility of all researchers at OIST to ensure that the appropriate steps are taken with regard to the recording, handling and preservation of data and associated information such as computer programs and logbooks, and take great care to prevent any research activity misconduct, such as fabrication, falsification, and plagiarism, in the research groups. Furthermore it is necessary to ensure the soundness and fairness of research which is required to respond to new risks associated with the openness and internationalization of research. (Link: Rules on Ensuring Research Integrity)
Faculty have a responsibility to promote and oversee the proper conduct of research in their Unit.

While externally funded research and collaboration with industry is encouraged, secret

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

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

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

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

4.2 Research Appointments

4.2.1 The RSAC (Research Staff Appointment Committee)

The RSAC, which consists of the DFA (chair), the Provost, the Chair of the Faculty Assembly, and member(s) appointed by the DFA, reviews the appointments of non-faculty research staff. This includes appointment changes to Staff Scientist and Senior Staff Scientist positions.

The RSAC also reviews the requests for appointment change from fixed term to continuing term (non-fixed term) through Continuing Appointment Review (CAR). The RSAC additionally conducts performance reviews of continuing appointment staff in conjunction with the research unit review schedule.

These requests are expected to originate from the Faculty supervisors of applicants. Details about review procedures, dossier submission, and evaluation factors are described in the RSAC handbook. [Link to RSAC Handbook and RSAC Terms of Reference]

The RSAC is consulted, when requested by the DFA, regarding the appointment of Postdoctoral Scholars, Science and Technology Associates (STA), and the transfer of research staff to the Dean's Research Group.

4.2.2 Faculty

Faculty appointments are described in Chapter 3, "Faculty Handbook."

4.2.3 Senior Staff Scientists (*Note: This is to replace Group Leader and Research Specialist)

Senior Staff Scientists belong to a Research Unit and manage and/or supervise a research team under the overall guidance of the Faculty. These positions are for research scientists who have significant research management or supervisory

experience. Senior Staff Scientists do not receive independent resources; however, they are expected to perform independent research, to take responsibility for projects, and to achieve leadership recognition internally and externally for their original research and service in the field.

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

a. Typically, the appointee has more than 10 years of post-Ph.D. research experience and at least 2 years of research management or supervisory experience.
b. The appointment is fixed term and requires the approval of the Dean of Faculty Affairs. Initial appointment is typically 2 years and shall not exceed 3 years. Approval of the Dean of Faculty Affairs is required to make an initial appointment for less than 2 years.
c. Under extraordinary circumstances, a 4th or 5th year renewal is allowed for a Senior Staff Scientist hired from outside OIST. The renewal is to be initiated by the Faculty member and the Senior Staff Scientist and must be approved by the Dean of Faculty Affairs. Total appointment period cannot exceed 5 years.
d. Extension of appointment beyond 5 years is only possible under extraordinary circumstances and requires approval by the Dean of Faculty Affairs.
e. The appointment involves full-time research and scholarship.
f. The appointee works under the guidance of a faculty member.
g. The appointee is expected to publish the results of their research.
h. The appointee may be involved with the pre-thesis and thesis work of students and mentoring of Postdoctoral Scholars and Staff Scientists working in the Research Unit of their Faculty supervisor.

4.2.3.1 Notice of contract termination

Faculty supervisors and their Senor Staff Scientists should discuss contract renewal or termination 6 months prior to the contract end date. Usually contract renewal or termination must be finalized 3 months prior to the contract end date.

4.2.3.2 Total period of fixed-term appointment

When there was an appointment change from Staff Scientist to Senior Staff Scientist, under no circumstances should the total period of fixed-term employment exceed 10 years unless they have passed a Continuing Appointment Review. Ten years are counted from the first fixed term (non-continuing) contract start date on or after April 1, 2013, or a contract extension executed on or after April 1, 2013.

4.2.3.3 Contract change from fixed term to continuing appointment (non-fixed term)

Continuing appointments have non-fixed term contracts ending at retirement, apart from the termination clause in the contract. As a rule, research staff should not be awarded a fixed-term contract that brings them past the 10-year

employment mark or a continuing (non-fixed term) contract unless they have passed a Continuing Appointment Review.

4.2.4 Staff Scientists

Staff Scientists belong to a Research Unit. Staff Scientists do not receive independent resources, although they are expected to be capable of working independently and to have sophisticated skills and knowledge essential to the research. Staff Scientists should be capable of designing experiments independently but do not have the responsibility of initiating new research programs. The fundamental definition of a Staff Scientist at the University is as follows:

a. Typically, the appointee should have more than 5 years of post-Ph.D. research experience and is expected to demonstrate capability to conduct independent research.
b. The appointment is fixed term and requires the approval of the Dean of Faculty Affairs. Initial appointment is typically 2 years and shall not exceed 3 years. Approval of the Dean of Faculty Affairs is required to make an initial appointment for less than 2 years.
c. Under extraordinary circumstances, 4th or 5th year renewal is allowed for a Staff Scientist hired outside OIST. The renewal is to be initiated by the Faculty member and the Staff Scientist and must be approved by the Dean of Faculty Affairs. Total appointment period cannot exceed 5 years.
d. Extension of appointment beyond 5 years is only possible under extraordinary circumstances and requires approval by the Dean of Faculty Affairs.
e. The appointment involves full-time research and scholarship.
f. The appointee works under the supervision of a faculty member.
g. The appointee is expected to publish the results of their research.
h. The appointee may be involved with the pre-thesis and thesis work of students and mentoring of Postdoctoral Scholars working in the Research Unit of their Faculty supervisor.

4.2.4.1 Notice of contract termination

Faculty supervisors and their Staff Scientists should discuss contract renewal or termination 6 months prior to the contract end date. Usually contract renewal or termination must be finalized 3 months prior to the contract end date.

4.2.4.2 Total period of fixed-term appointment

When there was an appointment change from Postdoctoral Scholar to Staff Scientist, under no circumstances should the total period of fixed-term employment exceed 10 years unless they have passed a Continuing Appointment Review. Ten years are counted from the first fixed term (non-continuing) contract start date on or after April 1, 2013, or a contract extension executed on or after April 1, 2013.

4.2.4.3 Appointment change to a Senior Staff Scientist

In exceptional cases, Staff Scientists with fixed-term and continuing contracts may be recommended for a Senior Staff Scientist position. This appointment change is expected to be rare, and the majority of Staff Scientists are expected to leave OIST for positions elsewhere.

4.2.4.4 Contract change from fixed term to continuing appointment (non-fixed term)

Continuing appointments have non-fixed term contracts ending at retirement age apart from the termination clause in the contract. As a rule, research staff should not be awarded a fixed-term contract that brings them past the 10-year employment mark or a non-fixed term contract unless they have passed a Continuing Appointment Review.

4.2.5 Postdoctoral Scholars

A Postdoctoral Scholar is an individual who belongs to a Research Unit, recently graduated with a doctoral degree, and is engaged in a temporary period of mentored research and scholarly training for the purpose of acquiring the professional skills needed to pursue an independent research career of their own choosing.

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

a. Typically, the appointee has been awarded a Ph.D. or equivalent doctorate (e.g., D.Sc., M.D.) in an appropriate field within the past 5 years.
b. Appointment to a postdoctoral position at OIST is not permitted for OIST Ph.D. graduates for a period of 2 years from the date of degree conferral.
c. The appointment is fixed term and requires approval of the Dean of Faculty Affairs. Initial appointment is typically 2 years and shall not exceed 3 years. Approval of the Dean of Faculty Affairs is required to make an initial appointment for less than 2 years. However, a 4th or 5th year renewal is to be initiated by the faculty member and the Postdoctoral Scholar and must be approved by the Dean of Faculty Affairs. Total appointment period cannot exceed 5 years; however, with the approval of the Dean of Faculty Affairs, an extension of up to one year may be granted as an exception if any of the following reasons apply.

    i. Termination of the appointment may affect the results of OIST research.
    ii. The appointee has domestic reasons such as child delivery, illness of the appointee, or his/her family members.
    iii. The appointee has other reasons which the Dean of Faculty Affairs deems necessary.

d. The appointment involves full-time research and scholarship.
e. The appointee works under the supervision of a faculty member.
f. The appointee is expected to publish the results of their research.
g. The appointee may be involved with the pre-thesis and thesis work of students

working in the Research Unit of their Faculty supervisor.

h. The appointment is viewed as preparatory for an independent, full-time career.

4.2.5.1 **Postdoc development**

Postdoctoral Scholars are responsible for their professional and career development and therefore are allowed 12 hours per year to pursue activities that prepare them for a career of their own choosing. In addition, the creation of an Individual Development Plan (IDP) is highly recommended to establish clear career goals and to monitor training progress. The IDP form is to be reviewed by the faculty supervisor and/or postdoctoral mentor(s) at least annually and cannot be used to evaluate postdoctoral performance.

4.2.5.2 **Notice of contract termination**

Faculty supervisors and their Postdoctoral Scholars should discuss contract renewal or termination 6 months prior to the contract end date. Usually contract renewal or termination must be finalized 3 months prior to the contract end date.

4.2.5.3 **Appointment change to a Staff Scientist**

Exceptional Postdoctoral Scholars may be appointed to a Staff Scientist position if they have been employed by OIST for at least 1 year as a Postdoctoral Scholar and normally have at least 5 years of experience since graduating with a Ph.D.

4.2.5.4 **Interdisciplinary Postdoctoral Scholars Fellowship**

An Interdisciplinary Postdoctoral Scholar is engaged in a period of mentored interdisciplinary research and scholarly training to acquire the professional skills needed to pursue an independent research career of their choosing. These individuals are selected by a committee to receive this distinction and are expected to be especially successful in research and have very high academic potential. This category of postdoc has been created to enable OIST to attract the very highest quality of young interdisciplinary researchers. Interdisciplinary postdocs will receive, in addition to their title, a special allowance and a discretionary research budget. The use of this budget must comply with OIST regulations that dictate allowable expenses. Interdisciplinary postdocs can select two units to research in. These positions are part of the OIST postdoc PEREX pool. The fundamental definition of an Interdisciplinary Postdoctoral Scholar at OIST is as follows:

a. The Fellow has been awarded a Ph.D. in an appropriate field within the past 5 years.
b. The Fellowship is a fixed-term contract. The initial contract is 2 years and it may be extended for an additional year upon approval by the DFA.
c. The Fellowship involves full-time research and scholarship at units of the Fellow's choosing.
d. The Fellow works under the supervision of faculty members.
e. The Fellow is expected to publish (or at least submit for publication) the results of their research during the Fellowship period.

Details of the selection committee, process, program administration, and other fellowship particulars can be found on the website.

4.2.6 Research Unit Technicians

A Research Unit Technician is an individual who belongs to a Research Unit and provides technical assistance for the research programs of the Research Unit, under direct instructions from the Unit head or from appropriate researchers of the Unit as designated by the Unit head.
The fundamental definition of a Research Unit Technician at the University is as follows:

a. Definitions for Research Unit Technicians are described in "Guidelines for Title and Job Class" [To be developed].
b. Appointment to a Research Unit Technician position at OIST is not permitted for OIST Ph.D. graduates for a period of 2 years from the date of degree conferral.
c. The appointment is fixed term and requires approval of the Dean of Faculty Affairs. Initial appointment is typically 2 years and shall not exceed 3 years. Approval of the Dean of Faculty Affairs is required to make an initial appointment for less than 2 years.
d. These positions are for individuals with the technical or engineering expertise required to conduct research programs in the Research Unit.
e. The appointee works under the supervision of a faculty member.

4.2.6.1 Notice of contract termination

Faculty supervisors and their Research Unit Technicians should discuss contract renewal or termination 6 months prior to the contract end date. Usually contract renewal or termination must be finalized 3 months prior to the contract end date.

4.2.6.2 Total period of fixed-term appointment

Under no circumstances should the total period of fixed-term employment exceed 10 years unless they have passed a Continuing Appointment Review. Ten years are counted from the first fixed term (non-continuing) contract start date on or after April 1, 2013, or a contract extension executed on or after April 1, 2013.

4.2.6.3 Contract change from fixed term to continuing appointment (non-fixed term)

Continuing appointments have non-fixed term contracts ending at retirement age apart from the termination clause in the contract.

4.2.6.4 Annual performance evaluations

Annual performance evaluations of the Research Unit Technicians will be done by their supervising Faculty.

4.2.7 Dean's Research Group

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

4.2.8 Buribushi Fellowship

The Buribushi Fellowship is a principal investigator position intended to give opportunities for early career independence, to boost promising researchers toward a tenure-track faculty position. Selection will be made through an open call for applications. Appointment is by the Dean of Faculty Affairs upon recommendation by the Selection Committee. The initial term of the fellowship will be for 3 years, with an additional 2 years possible after an internal review to demonstrate satisfactory progress. As a Principal Investigator, Buribushi Fellows are responsible for their own research activities, including budget management and research compliance. See the website of Buribushi Fellowship (LINK) for details.

4.3 Research Support Appointments

4.3.1 Research Support Leaders

Definitions for Research Support Leaders are described in "Guidelines for Title and Job Class".

4.3.2 Research Support Specialists

Definitions for Research Support Specialists are described in "Guidelines for Title and Job Class".

4.3.3 Research Support Technicians

Definitions for Research Support Technicians are described in "Guidelines for Title and Job Class".

4.4 Research Fellows

4.4.1 Research Fellows

Research Fellows are researchers who study in the University as their main research base (even though those who do not have employment relationship with the University) and be engaged in a temporary period of mentored research and scholarly training at the University. They are excellent researchers (those who are matriculated as student at the University are excluded) who are awarded Research Fellowship for Young Scientists by Japan Society for the Promotion of Science (JSPS) or receive other fellowship, stipend and/or research grant from research funding agencies located in or outside of Japan.

4.4.2 Acceptance of Research Fellows

Those who want to be engaged in research at the University as Research Fellows shall apply for acceptance in such capacity to the Dean of Faculty Affairs after the approval

of the Faculty member who will act as their supervisor. The Dean of Faculty Affairs shall allow their acceptance if it is not deemed to be an obstacle to the education and research of the University.

4.4.3 Duration of an Acceptance of Research Fellows

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

4.4.4 Performance of Research Fellows

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

a. Research Fellows work under the supervision of a faculty member.
b. Research Fellows are expected to publish, and may be supported towards the publication of the results of their research during the training period.
c. Research Fellows may be involved with the pre-thesis and thesis work of students working in the Research Unit of their supervising Faculty member.

4.4.5 Compliance

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

4.4.6 Handling of intellectual property created by Research Fellows

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

4.4.7 Treatment and regulations of Research Fellows

Treatment and other detailed regulations of research Fellows are described in "Guideline for Treatment and other Regulations of Research Fellows".

4.4.8 Miscellaneous

Other details shall be separately determined by the Dean of Faculty Affairs.

4.5 OIST Researcher Community (ORC)

4.5.1 Role of the ORC

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

the University. The ORC champions diversity and welcomes/encourages participation in its Office, Advisory Groups, and various Committees of members representing different gender identities, cultures, religions, employee statuses, scientific disciplines, etc.

4.5.2 Membership and Officers

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

4.5.3 Meetings

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

4.5.4 Chairperson and Secretary

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

4.5.5 Researcher Representatives and Researcher Representative Alternate

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

4.5.6 Advisory Groups and Assistants

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

4.6 The Science and Technology Group (STG)

To achieve its goals, the University needs to be able to respond flexibly to opportunities to extend and complement its research portfolio and to pursue activities in support of the wider development of Okinawa. The STG provides a focus for these activities and

contributes to the research capabilities of the University in many ways. It enables new scientific or technical directions to be supported where a full research unit is not warranted, as well as providing skilled leadership for technical support services, or develops scientific, technical, industrial, educational or cultural collaborations with local and international institutions.

4.6.1 Science and Technology Associates (STA)

STA work in the STG on projects that extend and complement the University's research portfolio and that support the wider development of Okinawa. These positions cover a wide range of skills and are used flexibly to enhance the capabilities of the University.

STAs require special research skills and subject knowledge in a relevant scientific, technical, industrial, educational, or cultural discipline. There are three STA levels, dependent upon qualifications and experience, with each level requiring increasing professional achievement. Definitions for STAs are described in "Guidelines for Title and Job Class".

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

Where an STA is affiliated with a research unit, the STA's research review will normally be conducted by the external review committee members as part of the unit review or the tenure review of the Principal Investigator who leads the unit. In such cases, independent 1st and 2nd external expert peer reviews specified in 4.6.1.1 will not be conducted. Instead, the unit review or tenure review serves in place of those reviews, and the process will result in the recommendations specified in 4.6.1.3 and 4.6.1.4. These recommendations will cover the STA's contract and/or promotion (where applicable), but will not include research funding decisions, as the STA's budget is included in the unit budget.

4.6.1.1 Criteria for External Expert Peer Review

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

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

4. Proposed future work.

4.6.1.2 **"Stop-the-Clock" policy for STAs**

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

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

The Stop-the-Clock application form must be submitted to the Dean of Faculty Affairs before the review process begins (i.e., by the due date for submission of materials for review evaluation). Upon approval of the application form by the Dean of Faculty Affairs and the President, the following actions will be taken.

1. The review date will be postponed by up to one year.
2. Employment of the candidate will be continued for one more year, subject to 4.6.1 5).
3. Research funding will be extended by up to one year.

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

4.6.1.3 **Process after the 1st review**

a. Initial appointment of an STA is usually a **non-continuing appointment** up to five years. Based on the result of the 1st external expert peer review described in 4.6.1.1 and anticipated future contributions to the University, the RSAC will make recommendations to the President about the STA's contract and research funding. The recommendations include:

    1. Offer of another contract as a non-continuing appointment, research funding up to five years, and/or promotion (if applicable); or
    2. Termination of appointment of a non-continuing STA at the end of their current contract period, or one year from notification of the decision, whichever is later, subject to the limitation in 4.6.1.5.

b. In special circumstances, prior to when the above recommendations in 4.6.1.3 (a) are made, the Dean of Faculty Affairs can decide to propose a continuing appointment to the RSAC by considering the outcome of the 1st external expert peer review described in 4.6.1.1 and anticipated future contributions to the

University. Procedures with the RSAC are described in 4.6.1.4 (b).

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

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

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

a. If the Dean of Faculty Affairs decides not to propose a continuing appointment, the Dean of Faculty Affairs recommends that the President terminate non-continuing appointment of the STA at the end of their current contract period, or one year from notification of the decision, whichever is later, subject to the limitation in 4.6.1.5. If the President disagrees with termination of the appointment, he may discuss other outcomes with the STA.
b. If the Dean of Faculty Affairs proposes a continuing-appointment, documentation will be submitted to the RSAC. This includes the complete dossier for the external expert peer review, plus a letter from the Dean of Faculty Affairs making the case that the conditions are satisfied. The RSAC will use the following criteria to recommend a continuing-appointment, research funding, and/or promotion (if applicable) to the President:

    1. That the record of achievements during the period under review was "Outstanding" or "Excellent";
    2. That proposed future work is judged to be of high quality, with a good chance of having a significant impact in that discipline over the next 10-15 years;
    3. That there is an identifiable benefit to OIST's academic reputation.

When the RSAC recommends the continuing appointment and the President approves the recommendation, the STA can convert from a non-continuing to a continuing appointment. Continuing STA appointments are based on the University's employment contract, which can be renewed under the same terms and conditions for the same term period until age 65, unless either party raises the issue of termination of the employment contract in accordance with the applicable Rules of Employment. At the time of conversion to a continuing appointment, or subsequently after the completion of successful external reviews at 5 year intervals, the salary may be negotiated

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

4.6.1.5.

4.6.1.5 Total period of non-continuing appointment

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

4.6.1.6 STAs with continuing appointments

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

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

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

4.6.2 STA Annual Performance Appraisal and Salary Increase

The Dean of Faculty Affairs will evaluate STA's activities during the previous fiscal year based on the Annual Report published on the STG website. The Dean of Faculty Affairs may ask for a meeting to help or advise selected STAs, specifically STAs with non-continuing appointments.
If the performance is "Satisfactory", STAs may be eligible for a salary increase, depending on OIST's budgetary status. STA's research performance will be evaluated separately, as described in PRP 4.6.1.1, "Criteria for external expert peer review".

4.6.3 The Science and Technology Group (STG) Forum

4.6.3.1 The Role of the STG Forum

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

4.6.3.2 Membership and Officers

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

Assembly.

4.6.3.3 Meetings

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

The Dean of Faculty Affairs reports on the STG Forum to the Faculty Council, and presents the STG Annual Report to the Faculty Assembly.

4.7 External Researchers

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

4.7.1 Visiting Researchers

This research takes place under the terms of an external researcher agreement, with the sponsorship of an OIST faculty member. Agreements are valid for up to two calendar years, extensions beyond the initial agreement term require a repeat of the approval process prior to the expiry of the original agreement.

4.7.2 Visiting Fellows

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

4.7.3 Collaborating Researchers

This research takes place under the terms of both an external researcher agreement and an over-arching inter-institutional agreement, along with the sponsorship of an OIST faculty member. Invitations are valid for up to one calendar year, extensions beyond the initial agreement term require a repeat of the approval process prior to the expiry of the original agreement.

4.7.4 Research Consultants

This research takes place under the umbrella of an external researcher agreement,

with the sponsorship of an OIST faculty member. Agreements are valid for up to one calendar year, extensions beyond the initial agreement term require a repeat of the approval process prior to the expiry of the original agreement.

4.7.5 Guest Researchers

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

4.7.6 Visiting Scholars

Visiting Scholars are invited under the programs sponsored by OIST. These programs aim to foster a vibrant scientific culture and promote collaboration with Visiting Scholars. Visiting Scholars are expected to actively contribute to the research environment at OIST and to its research output. Details are defined in the Program Overviews:

[Link to Visiting Program Overview]

4.8 Mentor

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

4.9 Responsibilities for Research Staff and Student

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

4.10 Organizations for Supporting Research

4.10.1 Advisory Committees

To ensure safety, ethics, and compliance in research activities, the following committees are established. Refer to the individual rules for details on each committee.

4.10.1.1 Biosafety Committee

Review of research plans involving the use of the controlled biological agents (living modified organisms, pathogens, toxins, and hazardous animals and plants). See Biosafety Management Rules; Biosafety Committee Rules [Link]

4.10.1.2 Animal Care and Use Committee

Review of research plans involving the use of vertebrates or higher invertebrates (cephalopods).
See Animal Experiment Regulations; Detailed Regulations for Animal Care and Use Committee [Link]

4.10.1.3 Human Subject Research Review Committee

Review of research plans in life sciences, medicine, and other fields that involve human subjects or the use of human-derived samples.
See Human Subjects Research Rules; Rules for Human Subject Research Review Committee [Link]

4.10.1.4 Field Work Safety Committee

Review of safety aspects of field activity plans for research and education.
See Rules for Field Work; Rules for Field Work Safety Committee [Link]

4.10.1.5 Diving Control Board

Review, advice, and approval of safety aspects of diving plans for research and educational activities.
See Diving Control Board: Terms of Reference [Link]

4.10.1.6 Laser Safety Advisory Committee

Advice on safety aspects of introducing, installing, and operating laser equipment.
See Laser Safety Management Rules [Link]

4.10.1.7 Radiation Safety Committee

Review of research plans involving the use of radioactive isotopes.
See Rules for Prevention of Radiation Hazards; Rules for Radiation Safety Committee [Link]

4.10.2 Core Facilities

The Core Facilities provide services utilizing common research resources to support OIST approved research and commercial activities. The Core Facilities is comprised of sections as described in the Description Regarding Responsibilities and Duties in PRP Chapter 2:

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

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

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

4.11.1 Mechanisms for the Responsible Conduct of Research

4.11.1.1 Research Ethics Chief Administrative Officer

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

4.11.1.2 Research Ethics Education Officer

The Provost administers the promotion of the research ethics education provided at the University as the Research Ethics Education Officer and provides regular research ethics education to the personnel involved in research activities.

4.11.2 Research Ethics Education

All researchers, research support employees, and students of the University including faculty, postdoctoral scholars, staff scientists, technicians, Research Fellows and science and technology associates must receive research ethics education at least once every 5 years. Staff in other divisions are also highly encouraged to receive the research ethics education. 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 encourage them to receive the research ethics education. The Office of Dean of Faculty Affairs supports the Provost in the preparation of the research ethics education materials and the management of attendance records.

4.11.3 Management of Research Data and Laboratory Notebooks

Research data are valuable not only for the researcher who obtained them but also for the science community at large. All researchers are asked to preserve data in a secure, identifiable way with appropriate backup methods, and disclose these when necessary. Any research results at the University, including laboratory notebooks and electronic data files, are in general deemed as property of the University. It is

the responsibility of each researcher to ensure that all of their research is properly documented in accordance with best practice in the field of study. This responsibility includes the safe keeping of research data and where appropriate lab note books, for future examination. Faculty should provide clear guidance to all researchers in their Unit on the form that this research record should take. The fabrication or falsification of data, and the plagiarism are not tolerated. The dissemination of research data on public databases is encouraged, while the best care must be taken to protect the privacy of human subjects data. When research staff leaves a research unit, an agreement should be made with the faculty regarding what data can be moved. When a faculty member or research staff leaves the University, while the ownership of the research data remains with the University, the Dean of Faculty Affairs can authorize a proper data transfer arrangement to ensure that the on-going research is not hindered.
See the "OIST Guidelines on Archival and Disclosure of Research Data, Laboratory Notebooks, Research Specimens and Chemicals" for details.

4.11.4 Management of Research Materials

Research materials used in research, such as genetic samples and living modified organisms (LMOs), are valuable resources for the science community at large. Many journals and funding agencies require such materials to be made publicly available after publication. Appropriate conditions, such as extremely low temperatures, must be maintained for the preservation of research samples/materials and one must take proper procedures when transferring them so that she/he can respond to such request by other researchers. Research samples and materials must be preserved for at least five years from the date they were generated, published, or presented at a conference. When providing or accepting research materials, a material transfer agreement (MTA) is required between the parties. When a researcher moves to another institution, an agreement is required beforehand concerning the division of materials.
See the "OIST Guidelines on Archival and Disclosure of Research Data, Laboratory Notebooks, Research Specimens and Chemicals" for details.

4.11.5 Research Protocols

Before commencement of the research involving use of the controlled biological agents (living modified organisms, pathogens, toxins, and hazardous animals and plants), animals or human subjects, or the research involving field work, the Principal Investigator of the relevant research must submit the research plan/protocol to the relevant committee(s) [ref. PRP4.10.1] for their review and for the approval of the Provost. Outdoor activities conducted underwater require review and approved by the Diving Control Board. The PI is responsible for ensuring that the approved plans/protocols are followed by all the members involved.

4.11.6 Publication of Research Results

The results of research conducted at the University are required to be made public as soon as possible in the form of journal articles, presentation at a conference or

similarly appropriate venues (PRP 1.3.1, Openness in Research). While publishing research results, faculty members and researchers must ensure that there are no violations, such as fabrications, falsifications, plagiarism, duplicate submissions, inappropriate authorship, or the use of copyrighted materials without gaining permission or giving credit.
The Okinawa Institute of Science and Technology Graduate University Institutional Repository (hereinafter referred to as "OISTIR") serves as the platform for public access to the intellectual output of the University. Publications and other research results should be deposited in the OISTIR, except in rare circumstances approved by the Library Director. Those who deposit materials in the OISTIR should follow the Okinawa Institute of Science and Technology Graduate University Institutional Repository Operational Guidelines to maintain an open-access environment.
Publications in open access journals are encouraged and may receive support from the central budget.

4.11.7 Export and Import Compliance

Japan, like most nations, imposes controls and duties on the import and export of many goods, including materials and equipment used in basic research of the type conducted at the University. Transfer of technology including intellectual property such as software, production know-how, and even User Manuals, whether physical, digital or verbal, is also subject to regulation and control in alignment with national laws, relevant United Nations resolutions, and import/export regulations. Various university activities such as student admissions, faculty and staff recruitment, joint research endeavors, and international exchanges, including the acceptance of researchers and interns from overseas, may also fall under the purview of export controls. The government also controls, and may require licenses for, the importing of a variety of items, devices, substances, information and speciments, including living organisms and genetically modified organisms. Goods approved for import may also be subject to fees/taxes (sometimes referred to as "duties") and periodical report to the authority, although items used in university-based research may be eligible for an exemption from duties. Great care must be exercised not to violate national laws and regulations and relevant United Nations resolutions, intentionally or unintentionally. The Security Export Control Officer should be consulted to ensure full compliance with these regulations.

Refer to the government's Security Trade Control website, the Foreign Exchange and Foreign Trade Act, relevant United Nations resolutions and OIST Rules Security Export Control.

4.11.8 Conflicts of Interest and Commitment

Faculty members must disclose any situation that could lead to any real or apparent conflicts of interest as detailed in Chapter 22 "Conflicts of Interest Management and Security Export Control".

4.12 Health, Safety, and Environmental Protection

All researchers conducting research activities must do so under the relevant health,

safety, and environmental protection regulations. For health, safety and environmental protection information, researchers are required to fully understand and observe Chapter 13 "Safety, Health & Environmental Protection".
Each faculty member is responsible for training the members of their team in the appropriate health and safety procedures for that particular research area and for the management of those procedures in their laboratory or other workplace. Faculty members are also responsible for the safety of the laboratory facilities and equipment and are required to cooperate with investigations and inspections by University personnel or external agencies.

4.13 Intellectual Property

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

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

4.14 Fiscal Obligations

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

4.15 Operation and Management of Public Research Grants

4.15.1 Mechanisms for the Operation and Management of Public Research Grants

4.15.1.1 Public Research Grant Chief Administrative Officer

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

Officer is required to provide all necessary measures impartially and appropriately.

4.15.1.2 Public Research Grants General Administrative Officer

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

4.15.1.3 Public Research Grants Compliance Officer

The Provost, the Dean of Faculty Affairs and Vice President for Financial Management play the following roles as a Public Research Grants Compliance Officers. Public Research Grants Compliance Officers can assign Public Research Grants Assistant Compliance Officer(s).

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

4.15.2 Internal Research Funding

The University's internal funding for a research unit is allocated each fiscal year based on a five-year research program confirmed by the President at the time of the initial appointment and recommended by a review committee at the time of renewal. Any research equipment approved for a five-year research program should be considered common or shared equipment. The Provost along with the Director of Core Facilities investigate purchases of any research equipment over five million yen for possible use as common or shared equipment. If there is a need of additional space allocation for installation of newly purchased equipment, the space request should be submitted to and approved by the Space Allocation Committee. [Link: SAC]

4.15.2.1 Common Research Resources

The Core Facilities overseen by the Director of Core Facilities manages the common research facilities and equipment and provides services to the research units.

4.15.2.2 Internal Cost Charging

The Core Facilities may charge research units for the use of common research

equipment and services to promote fair and efficient use.

4.15.3 External Research Funding

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

4.15.3.1 Public Grant Application

Applications for government, prefectural, or international research grants by all eligible researchers are encouraged. Non-faculty researchers should consult the faculty before application, so that the pursuit of the grant does not interfere with the overall goal of the research unit. Any submission that requires additional laboratory or office space, and does not cover indirect costs or requires matching internal funding, requires additional scrutiny. All grant applications must be approved by the Manager of the Grants Section before submission. If there is a need of additional space allocation for new activities based on a public grant, the space request should be submitted to and approved by the Space Allocation Committee.

4.15.3.2 Private Funding and Joint Research

When an opportunity for private research funding or joint research with an industrial partner emerges, the faculty is required to consult the Business Development Section for the appropriate contract or agreement. Privately funded research at the University must be of an academic nature and needs to be disseminated as a publication or conference presentation (see PRP 1.3.1 Openness in Research). When conducting privately funded or joint industrial research, the policies and requirements regarding Intellectual Property and Technology Transfer and Conflicts of Interest Management & Security Export Control must be observed. If there is a need of additional space allocation for new activities based on private funding or joint research, the space request should be submitted to and approved by the Space Allocation Committee.

4.15.3.3 Management of External Funds

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

reputation of the University and can result in extensive sanctions for the offending faculty member.

4.15.3.4 Implementation of self-motivated research activities by young researchers employed with competitive research funding

Young researchers who are employed with competitive research funding are generally required to concentrate on the funded project. However, obtaining approval from the Vice Provost following the procedures provided below, the researcher may implement self-motivated research activities.

Necessary procedures to implement the said research activities are provided separately in "Approval procedures for implementing self-motivated research activities by young researchers employed with competitive research funding in OIST School Corporation".

4.16 Provision of research facilities and services to users outside the University

The University's research facilities and services are primarily for use in research and academic activities of the University, but to the extent that such use does not interfere with these activities, the University is willing to make them available to academic or business users outside the University. This will serve the University very well as we can contribute to the advancement of science and technology in Okinawa and to the development of an active research community surrounding the University. Besides, appropriately charging these outside users with fees will contribute to the University's operating funds. The Director of Core Facilities manages the use of the University's research facilities and services by outside users, while making them continuously available to the University users, appropriately charging direct and indirect costs to outside users, and ensuring safety, security, and compliance to policies and rules of the University. Details of the use by outside users will be set forth by the Provost [Link].

4.17 Reporting and Investigation procedures

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

4.18 Contacts

4.18.1 Policy Owner: Provost

4.18.2 Other contacts: Dean of Faculty Affairs, Vice Provost, Director of Core Facilities