Graduate School Policies

Introduction to Graduate School Policies

The following Graduate School policies detail official and enforceable policies in relation to student admissions, the academic programs of OIST, student support measures, and other duties fulfilled by the Graduate School.

Graduate School policies supplement, and do not in any way supersede, the University Rules and the University's Policies, Rules and Procedures (PRP). If any discrepancy is found, the University Rules and the University's PRP take precedence.

OIST Graduate School policies form a complete set of OIST educational program requirements. Only in extraordinary circumstances are exceptional amendments made during the academic year.

When amendments are made to graduation requirements in subsequent academic years, students may opt to update to these new graduation requirements in writing, but must do so in entirety, and with no option to revert to former academic year iterations.

Supplementary Provisions

This Introduction to Graduate School policies shall come into force from September 1, 2020.

Supplementary Provisions

This revised Introduction to Graduate School policies shall come into force from May 1, 2023.

Graduate School Organization

Further to Graduate School organization found in PRP 5.2, additional details as to section duties can be found below:

1. Academic Affairs Section

The Academic Affairs Section administers and supports the academic program of the Graduate School. The Academic Affairs Section performs the following tasks:

i. Administers the academic program of the Graduate School,

ii. Provides advice on lab rotations,

iii. Organizes Mentors,

iv. Manages course changes,

v. Organizes thesis supervision,

vi. Monitors the academic progress of students,

vii. Coordinates course assessment and manages results,

viii. Coordinates the examination process,

ix. Determines the results of PhD candidatures,

x. Administers graduation requirements and the award of degrees,

xi. Facilitates gap programs for full-time PhD students,

xii. Provides secretariat for academic committees including:

a. Curriculum and Examination Committee,

b. Thesis committees

2. Student Affairs Section

The Student Affairs Section is concerned with the everyday requirements of living, health, and welfare of students at OIST. It is further charged with handling academic records and data. The Student Affairs Section performs the following tasks:

i. Provides general support to students, including immigration and municipal-related matters,

ii. Disseminates information and advice to students concerning scholarships and external financial support,

iii. Administers student financial support and scholarships,

iv. Administers student welfare support

v. Administers all Graduate School-related travel expense and relocation support for students,

vi. Administers registration and enrolment of students,

vii. Prepares and maintains data concerning:

a. Applicants for admission,

b. Individual records of faculty members,

c. Teaching assignments,

d. PhD thesis supervision,

e. Student academic records,

f. Course schedules,

g. Evaluations of teaching and supervision,

h. Student transcripts and certificates,

i. Graduate School reporting

3. Curriculum and Programs Section

The Curriculum and Programs Section is responsible for continuously developing and enhancing the quality and diversity of the taught component of the educational programs delivered by the Graduate School. The Curriculum and Programs Section performs the following tasks:

i. Advises students on course selection and the planning of their course of study,

ii. Develops and administers curriculum design and content,

iii. Administers independent study and special topics,

iv. Assesses external credit transfer,

v. Designs curricula for new programs,

vi. Administers and supports the evaluation of learning and teaching, including student evaluation,

vii. Designs and implements co-curricular activities,

viii. Develops collaborative programs with other universities,

ix. Develops and supports online and technology-enhanced teaching and learning,

x. Manages teaching resources including classrooms and teaching labs,

xi. Designs, implements, administers, and evaluates the Professional and Career Development curriculum,

a. Designs and delivers transferrable skills development opportunities,

b. Develops programs that support academia career development,

c. Designs and develops programs that support industry engagement and career development beyond academia,

d. Establishes opportunities for industry–academia interactions,

xii. Catalogues courses,

xiii. Schedules courses and classrooms

4. Admissions and Recruitment Section

The Admissions and Recruitment Section is charged with attracting qualified students to OIST. The Admissions and Recruitment Section is further responsible for communications and the maintenance of relationships with alumni. The Admissions and Recruitment Section performs the following tasks:

i. Develops educational program promotional materials,

ii. Administers the admissions process,

iii. Provides secretariat for the Admissions Committee,

iv. Undertakes student recruitment activities, both PhD and research internship,

v. Maintains the Graduate School website, the OIST Admissions website, and social media related to student recruitment activities,

vi. Administers the alumni association and its activities,

vii. Maintains data concerning:

a. Prospective students,

b. Graduate School–run workshops and events and their participants,

c. Alumni

Supplementary Provisions

This Graduate School Organization shall come into force from September 1, 2020.

Supplementary Provisions

This Graduate School Organization shall come into force from September 1, 2023.

Supplementary Provisions

This Graduate School Organization shall come into force from September 1, 2024.

Supplementary Provisions

This Graduate School Organization shall come into force from April 1, 2025.

Supplementary Provisions

This Graduate School Organization shall come into force from September 1, 2026.

Committees Facilitated by the Graduate School

1 Admissions Committee

The Admissions Committee is a standing committee of the University with delegated authority from the Faculty Assembly to select students for admission to the PhD program, and is advisory to the Dean of the Graduate School. The main purpose of the Admissions Committee is to deliberate and advise on matters related to graduate student recruitment and admissions, to ensure the recruitment and selection of excellent students. It has a particular role in the selection of individual candidates for admission to the graduate program. The Admissions Committee reports to the Assembly through the Dean of the Graduate School.

1.1 Membership of the Admissions Committee

The Committee includes faculty members representing the major fields of research and education at OIST who are charged with providing advice on matters requiring academic input. The Dean of the Graduate School appoints Committee members. The Provost, the Dean of Research, Vice Dean of the Graduate School, Manager of the Academic Affairs Section, Manager of the Student Affairs Section, Manager of the Admissions and Recruitment Section, and Manager of the Curriculum and Programs Section are ex-officio members of the Committee. The Admissions and Recruitment Section provides administrative support for the Committee.

1.1.1 Number of members of the Admissions Committee

The Admissions Committee shall be comprised of twelve (12) members of the Faculty Assembly, including the Dean of Graduate School who shall act as Chairperson of the Committee.

1.1.2 Tenure of membership of the Admissions Committee

Tenure of membership on the Committee shall be three (3) academic years, with four (4) members appointed each year on a rotational basis to ensure experience/expertise is retained within the committee.

1.2 Chairperson for the Admissions Committee

The Dean of the Graduate School shall preside at meetings of the Committee.

1.3 Frequency of Convocation

The Chairperson will call meetings of the Committee at least two times per year.

1.4 Items to be Discussed at Meetings of the Admissions Committee

The Committee may consider specific matters as follows:

i) Graduate student admissions

ii) Graduate student recruiting

iii) Other matters

The Committee may also deliberate on policy matters in relation to admissions.

1.5 Meetings of the Admissions Committee

i) If there is not a majority of the members with voting rights in attendance, the Committee shall not transact its business.

ii) Resolutions of the Committee shall be passed by a majority. The Chairperson shall make a decision in case of a tie in votes.

iii) As deemed necessary by the Chairperson, members may participate in the Committee meeting by teleconference and exercise voting rights. Absent members may not exercise voting rights.

iv) As deemed necessary by the Chairperson, faculty members other than members of the Committee may be invited to attend the meeting and participate in proceedings or serve as advisors on panels. This may occur, for example, to ensure that certain fields of expertise are represented, or to achieve diversity.

v) The agenda and decisions of the Committee shall be made available to the Faculty Assembly.

vi) The Committee shall include a member who is charged with ensuring that issues of diversity and equal opportunity are properly addressed. This shall be a trained member of staff from the diversity office or a member of the committee who has received appropriate training.

vii) Members of the Committee or panels must declare conflicts of interest, or the appearance of a conflict of interest, when these exist. Conflicts of interest occur when a candidate has any of the following relationships to the Committee member or advisor:

a. Former or present student;

b. Student for whom the member has written a supporting letter;

c. Former or current business partner or employer;

d. Close friend or partner;

e. Family member (spouse, child, sibling, sibling of spouse or child of sibling).

The existence of a conflict of interest is not a barrier to the selection of the candidate. However, special procedures must be followed to ensure the integrity of the process and the fair treatment of the candidate.

1.6 Procedures for Dealing with a Conflict of Interest

Prior to a Committee meeting in which the member of the Committee or advisor has a conflict of interest, the committee member having a conflict of interest shall disclose all facts that are relevant to the conflict of interest. Such disclosure shall be reflected in the minutes of the meeting. If a committee member is aware that members or advisors have a conflict of interest, they shall disclose the relevant facts. If an undeclared conflict of interest is discovered and the procedures have not been followed, the matter shall be referred to the President, who will determine the course of action to be taken in response.

Regarding conflict of interest in relation to applicants who are family members, there is no barrier to the candidacy or selection of a candidate who is a family member provided that proper procedures are followed. In the case of a family member, the conflict of interest shall be declared in writing to the Chairperson of the Admissions Committee. The committee member or advisor concerned shall thereafter take no part in the evaluations of any candidates of the decisions of the Committee, and shall not have access to the proceedings and records of the Committee, with respect to any other candidate, until a decision about the candidate who is a family member has been made.

The written declaration shall include the date of the declaration, the name of the Committee Member, the name of the candidate, and the nature of the relationship of the committee member to the candidate. The declaration shall include the following statement:

“I hereby recuse myself from any evaluation or decisions concerning the above candidate, and any other candidate in the same round of applications, immediately and until a decision about the above candidate is made.”

In the case of other conflicts of interest, the conflict shall be declared to the Chairperson, who shall ensure that the Committee Member concerned takes no part in the decision of the committee with respect to the candidate, by requiring the member to leave the room when the candidate is discussed, or stronger measures as considered necessary by the Chairperson.

2 Curriculum and Examinations Committee

The Curriculum and Examinations Committee is a standing committee of the University with delegated authority from the Faculty Assembly to deal with matters related to the curriculum and individual student progress in the PhD program, and is advisory to the Dean of the Graduate School. The Curriculum and Examinations Committee reports to the Assembly through the Dean of the Graduate School.

2.1 Membership of the Curriculum and Examinations Committee

The Committee includes faculty members representing the major fields of research and education at OIST who are charged with providing advice on matters requiring academic input. The Dean of the Graduate School appoints Committee members. The Vice Dean of the Graduate School, Manager of the Academic Affairs Section, Manager of the Student Affairs Section, Manager of the Admissions and Recruitment Section, and Manager of the Curriculum and Programs Section are ex-officio members of the Committee. The Academic Affairs Section provides administrative support for the Committee.

2.1.1 Number of Members of the Curriculum and Examinations Committee

The Curriculum and Examinations Committee shall be comprised of twelve (12) members of the Faculty Assembly, including the Dean of Graduate School who shall act as Chairperson of the Committee.

2.1.2 Tenure of Membership of the Curriculum and Examinations Committee

Tenure of membership on the Committee shall be three (3) academic years, with four (4) members appointed each year on a rotational basis to ensure experience/expertise is retained within the committee.

2.2 Chairperson for the Curriculum and Examinations Committee

The Dean of the Graduate School shall preside at meetings of the Committee.

2.3 Frequency of Convocation

The Chairperson will call meetings of the Committee on the first Monday of every month.

2.4 Attendance at Meetings

Since a majority of the members with voting rights is required for a quorum, voting members of the Committee who miss three (3) consecutive regularly scheduled meetings, or who miss five or more of the regularly scheduled meetings in a calendar year, will automatically be discharged from the Committee, with the following exceptions: members who attend electronically, members who submit written comments on agenda items, members who are scheduled to teach at the time of the meeting.

2.5 Items to be Discussed at Meetings of the Curriculum and Examinations Committee

The Committee deliberates on matters related to the curriculum and individual student progress in the PhD program

The Committee may consider specific matters as follows:

i) Individual student program (by review of program proposals)

ii) Individual student progress (by review of annual research progress reports or mentor reports)

iii) Approval of thesis proposals and progression to thesis research

iv) Appointment of thesis supervisors and thesis committees

v) Appointment of examiners

vi) Award of degrees

vii) Changes to the curriculum (by review of course proposals)

viii) Other matters related to curriculum and student progress

2.6 Meetings of the Curriculum and Examinations Committee

i) If there is not a majority of the members with voting rights in attendance, the Committee shall not transact its business.

ii) Resolutions of the Committee shall be passed by a majority. The Chairperson shall make a decision in case of a tie in votes.

iii) As deemed necessary by the Chairperson, members may participate in the Committee meeting by teleconference and exercise voting rights. Absent members may not exercise voting rights.

iv) As deemed necessary by the Chairperson, faculty members other than members of the Committee may be invited to attend the meeting and participate in proceedings or serve as advisors on panels. This may occur, for example, to ensure that certain fields of expertise are represented, or to achieve diversity.

v) The agenda and decisions of the Committee shall be made available to the Faculty Assembly.

vi) The Committee shall include a member who is charged with ensuring that issues of diversity and equal opportunity are properly addressed. This shall be a trained member of staff from the diversity office or a member of the committee who has received appropriate training.

vii) Members of the Committee or panels must declare conflicts of interest, or the appearance of a conflict of interest, when these exist.

2.7 Procedures for Dealing with a Conflict of Interest

In the case of conflicts of interest, the conflict shall be declared to the Chairperson, who shall ensure that the committee member concerned takes no part in the decision of the committee with respect to the matter, by requiring the matter to leave the room when the matter is discussed, or stronger measures as considered necessary by the Chairperson.

3. Student External Funding Nomination Committee

The Student External Funding Nomination Committee is a standing committee of the University to select students to be recommended for external funding opportunities, such as scholarships, fellowships, awards, research grants and so on, which require university nominations. The Student External Funding Nomination Committee is advisory to the Dean of the Graduate School.

3.1 Membership of the Student External Funding Nomination Committee

The Committee includes faculty members representing the major fields of research and education at OIST who are charged with providing advice on matters requiring academic input. The Dean of the Graduate School appoints Committee members. The Vice Dean of the Graduate School, Manager of the Student Affairs Section, Manager of the Academic Affairs Section, and members from the Curriculum and Programs Section are ex-officio members of the Committee. The Student Affairs Section provides administrative support for the Committee.

3.1.1 Number of members of the Student External Funding Nomination Committee

The Student External Funding Nomination Committee shall be comprised of six (6) members of the Faculty Assembly, including the Dean of the Graduate School.

3.1.2 Tenure of membership of the Student External Funding Nomination Committee

Tenure of membership on the Committee shall be two (2) academic years, with two (2) members appointed each year on a rotational basis to ensure experience/expertise is retained within the Committee.

3.2 Chairperson for the Student External Funding Nomination Committee

The Dean of the Graduate School shall preside at meetings of the Committee.

3.3 Frequency of Convocation

The Chairperson will call meetings of the Committee when Graduate University needs to nominate candidates for external funds or as otherwise necessary.

3.4 Items to be Discussed at Meetings of the Student External Funding Nomination Committee

i) Select students for nomination by: reviewing applications and supporting documents submitted by students and their supervisors, evaluating candidates based on their academic performance, research potential and alignment with the goals of each external fund program.

ii) Discuss potential external funds for students.

iii) Other matters related to external funds for students.

3.5 Meetings of the Student External Funding Nomination Committee

i) If there is not a majority of the members with voting rights in attendance, the Committee shall not transact its business.

ii) Resolutions of the Committee shall be passed by a majority. The Chairperson shall make a decision in case of a tie in votes.

iii) As deemed necessary by the Chairperson, members may participate in the Committee meeting by teleconference and exercise voting rights. Absent members may not exercise voting rights.

iv) As deemed necessary by the Chairperson, faculty members other than members of the Committee may be invited to attend the meeting and participate in

proceedings or serve as advisors on panels. This may occur, for example, to ensure that certain fields of expertise are represented, or to achieve diversity.

v) The agenda and decisions of the Committee shall be made available to the Faculty Assembly.

vi) The Committee shall include a member who is charged with ensuring that issues of diversity and equal opportunity are properly addressed. This shall be a trained member of staff from the diversity office or a member of the committee who has received appropriate training.

vii) Members of the Committee or panels must declare conflicts of interest, or the appearance of a conflict of interest, when these exist.

3.6 Procedures for Dealing with a Conflict of Interest

In the case of conflicts of interest, the conflict shall be declared to the Chairperson, who shall ensure that the committee member concerned takes no part in the decision of the committee with respect to the matter, by requiring the matter to leave the room when the matter is discussed, or stronger measures as considered necessary by the Chairperson.

Supplementary Provisions

This Graduate School Organization shall come into force from September 1, 2020.

Supplementary Provisions

This Graduate School Organization shall come into force from October 1, 2023.

Supplementary Provisions

This Graduate School Organization shall come into force from September 1, 2024.

Supplementary Provisions

This Graduate School Organization shall come into force from April 1, 2025.

Supplementary Provisions

This Graduate School Organization shall come into force from July 1, 2025.

Admissions and Enrollment Policies

1 Eligibility for Admission to the Graduate Program

Graduate School Admission Policy can be found in PRP 5.1.1.

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

2 Application for Admission to the Graduate Program

An applicant who wishes to become a candidate for a PhD shall apply for admission via the Graduate School's dedicated application system. The President may permit flexibility in time of entrance, for example when this would give an advantage in the recruitment of excellent students, or when this would be of benefit for the academic progress of the student.

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

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

The following documents are required:

i. Official academic transcript and authenticated copies of diploma (BSc, MSc, etc.) An English explanation is required for transcripts that are not written in English.

ii. Applicant's statement. This should address the following points:

a. The applicant's scientific interests and aspirations, and;

b. What the applicant hopes to gain from undertaking graduate studies at OIST.

iii. Applicants from universities, where the language of teaching and/or examination is not English, are required to provide a standard language test score (TOEFL or IELTS). Non-native English-speaking applicants seeking admission on the basis of a qualification from a university where the language of teaching and/or examination is English, or applicants formerly enrolled in the OIST Research Internship Program are not required to provide a standard language test score.

iv. A minimum of two (and a maximum of five) letters of recommendation from appropriate academic sponsors.

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

i Additional evidence of academic ability such as GRE general test scores obtained within last 2 years.

ii Additional material such as copies of publications and abstracts of oral presentations, and other evidence of achievement.

3 Selection for Admission

For general admissions to the graduate program, the Admissions Committee makes the selection of students for admission, in accordance with the policies, rules and procedures of the Admissions Committee.

This Committee reviews all material submitted by each student and makes a shortlist of applicants. The short-listed applicants are invited to an onsite event to select students for admission.

3.1 Admissions Workshop

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

i Conduct interviews of candidates by the OIST faculty members. During the interview, faculty members discuss with applicants their aims and motivation to undertake graduate studies at OIST. The Admissions Committee will also discuss the applicants' academic records and career aspirations. Applicants will have an opportunity to ask questions about the graduate program.

ii Provide tours or videos and information sessions of OIST research and teaching facilities, student support and accommodation, and the surrounding environments.

iii Provide a social program giving an opportunity for applicants to meet existing students and faculty members.

3.2 Travel Rules for Candidates Attending Onsite Admissions Workshop

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

Meals and accommodation

OIST will cover the cost of accommodation and meals for candidates attending the Admissions Workshop at the OIST Graduate University. Breakfast, lunch, dinner and accommodation (OIST Seaside House and others) will be provided from the night before the workshop until the morning after the workshop.

Travel support

1: Based on the questionnaire candidates have submitted, OIST will provide a round trip economy class flight between Okinawa and the airport closest to the candidate's address, using the most direct and economical route. This includes any layover expenses (at any Japanese or foreign cities).

2: Candidates are not permitted to change or cancel their flights and accommodations made after OIST has booked them. In case of any breach of this rule, flight and/or accommodation might be charged to the candidate.

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

4: If candidates wish to purchase domestic travel insurance, they are asked to do so at their own expense. However, OIST will, in principle, pay for international travel insurance for candidates who travel internationally.

5: Candidates are expected to arrive at OIST one day before the workshop. The workshop will comprise a minimum of two full days in Okinawa, with flexibility regarding additional time. A longer stay in Okinawa beyond the day after the workshop is permitted for up to 3 days, provided that the Dean of the Graduate School approves the itinerary in advance. In case of an extended stay the candidate will assume any and all risks and responsibilities for such extended stay and be responsible for arranging and paying for their own accommodation and expenses. Candidates shall comply with all instructions and OIST internal rules while on OIST premises as well as Japanese laws and regulations during his/her stay in Japan (before, during and after the workshop).

6: OIST shall not be responsible for any liabilities for damages suffered by candidates, unless such liability for damages results from the willful act or gross negligence of OIST officers and employees. OIST shall also not be responsible for any liabilities for damages suffered by candidates that occur outside the duration or scope of the workshop.3.3 Final Selection
The Admissions Committee will make a final selection of applicants who will be offered a place in the graduate program, and inform the Admissions and Recruitment Section. The final approval will be made by the President following Article 23 of the OIST University Regulations. Successful applicants will be sent an official letter offering admission to the graduate program.

3.3 Final Selection

The Admissions Committee will make a final selection of applicants who will be offered a place in the graduate program, and inform the Admissions and Recruitment Section. The final approval will be made by the President following Article 23 of the OIST University Regulations. Successful applicants will be sent an official letter offering admission to the graduate program.

3.4 Enrollment Timing

Regular enrollment begins on September 1st. the beginning of Term 1. However, students may also enroll at the beginning of Term 2 (January 1st) or Term 3 (May 1st) with the approval of the President following Article 18 of the OIST University Regulations. Applicants may choose early enrollment in May, or late enrollment in January.

4 Transfer Students

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

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

5 Registration

In addition to PRP 5.4.2, for graduate students registering for the doctoral program leading to a PhD, the following conditions apply:

i Registration is restricted to full-time candidates.

ii A full-time candidate may hold an external scholarship or receive financial support from OIST, or a combination of both, to enable him or her to study on a full-time basis, but may not otherwise hold employment.

iii The full-time status of the student must be confirmed by the student and the Dean of the Graduate School.

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

If the student does not fulfill all the requirements for registration by the deadline announced by the Office of the Graduate School, the admission will be automatically cancelled.

The handling of students' names shall be governed in accordance with the separately established "Student Name Guidelines."

Student Name Guidelines

6 Student ID Card

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

6.1 Card Issue and Return

When the student has been registered by the Graduate School, he or she will be issued with a Student ID Card. The card remains the property of the Graduate School, and must be returned upon completion of the period of study. The card becomes invalid once the student is no longer a registered student at OIST.

6.2 Access

Entry to general laboratory areas is only permitted after the student has successfully completed the induction program during Enrollment Week, or similar.

Additional access to specific and more- restricted areas is only available after the appropriate safety and equipment training has been completed. Such access will only be provided while the student has a need to enter those particular restricted areas.

6.3 Loss and Replacement of Cards

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

6.4 Permissions

Student ID Cards may not under any circumstances be loaned out or used by other persons, whether or not those persons are themselves authorized to have access to OIST facilities. Cards may not be copied, reverse-engineered, distributed without permission, or cryptanalyzed. Cards remain the property of OIST even when invalidated. The Dean of the Graduate School may take disciplinary action in the event that these provisions are not followed.

7 Application Fees, Admission Fees and Tuition Fees

Based on the provision of the Article 40 of the OIST University Regulations, the Application Fee, Admission Fee and Tuition Fee are set as follows.

Tuition fees must be paid for the entire period of enrollment to be registered as "full-time PhD student" unless the student has been granted a tuition waiver.

Application Fee: 5,000 yen
Admission Fee: 0 yen
Tuition Fee: 540,000 yen /Annual

8 Certificates

Official certificates, including Certificates of Registration, Transcripts, and Certificates of Completion, may be requested through the Graduate School.

The issuance fees for certificates shall be as follows.

(1) Students currently enrolled at OIST

For students currently enrolled in the OIST PhD program and other categories of students at OIST, the issuance fee for certificates shall be 0 yen. If postal delivery is requested, the actual postage costs shall apply.

(2) Alumni and former students

For alumni and other individuals who are no longer enrolled at OIST, the following fees shall apply:

Issuance of a printed certificate: 500 yen per copy

Certificates issued in scanned PDF format: 0 yen

Sealed envelope: 1,000 yen per envelope

Postal delivery: Actual postage costs

Supplementary Provisions

This Admissions and Enrollment Policies shall come into force from September 1, 2020.

Supplementary Provisions

This revised Admissions and Enrollment Policies shall come into force from May 1, 2021.

Supplementary Provisions

This revised Admissions and Enrollment Policies shall come into force from May 1, 2022.

Supplementary Provisions

This revised Admissions and Enrollment Policies shall come into force from October 1, 2023.

Supplementary Provisions

This revised Admissions and Enrollment Policies shall come into force from September 1, 2024.

Supplementary Provisions

This revised Admissions and Enrollment Policies shall come into force from December 1, 2024.

Supplementary Provisions

This revised Admissions and Enrollment Policies shall come into force from April 1, 2025.

Supplementary Provisions

This revised Admissions and Enrollment Policies shall come into force from July 1, 2025.

Supplementary Provisions

This revised Admissions and Enrollment Policies shall come into force from March 13, 2026.

Supplementary Provisions

This revised Admissions and Enrollment Policies shall come into force from August 1, 2026.

Supplementary Provisions

This revised Admissions and Enrollment Policies shall come into force from September 1, 2026.

Academic Program Policies

1. Induction Program

Students registered as full time OIST PhD students complete an induction program during their first week of enrollment (known as Enrollment Week). This program includes briefings on the PhD program, available student support, IT infrastructure, and use of the library and laboratories (including occupational health and safety). Mandatory online training and a preliminary health screening must also be completed before access is provided to research laboratories.

All OIST PhD students enrolling in any given term must attend Enrollment Week in full, at the time scheduled by the Graduate School. Any PhD student unable to do so must defer to the following term, if allowed by the Dean of Graduate School.

Incoming non-regular students will be provided an induction program at other times of the year as appropriate.

No laboratory access will be provided to students who have not completed this induction program.

2. Gap Program for Full-time PhD Students

The OIST Graduate School may offer a Gap Program to full-time incoming PhD students (who have formally accepted OIST offer of enrollment) prior to enrollment in the PhD program. Eligible students are those who require a greater proficiency in English in a laboratory setting, or those who require preliminary experience in a laboratory environment.

Students are not automatically eligible for enrollment into the Gap Program. An offer to join the Gap Program will only be made to an incoming student after consideration of each individual student's circumstances. If there is no added educational benefit to a student, the student will not be eligible to enroll in the Gap Program.

The Gap program is available for a maximum period of one term. The Graduate School will to the best of its ability assign students to an English-speaking laboratory as close as possible to the student's proposed field of research, toward the improvement of English communication skills in science and technology. Students will also be able to attend English courses at the OIST Language Education Section when available.

Please note that space availability in units may limit the number of Gap program places that can be offered. Interested students are encouraged to apply as soon as possible to maximize the possibility of a placement being found.

Rules concerning financial support for the Gap Program are separately stipulated.

3. Mentor Assignment

An OIST faculty member, as close to the student's proposed field of study as possible, is assigned to each student as a Mentor prior to arrival on campus. The Mentor is required to work carefully with the student to select courses and lab rotations that reinforce the foundations of the proposed field of study, and to provide the necessary scientific background to develop the ability to collaborate across traditional scientific boundaries. Each Mentor is appointed by the Dean of the Graduate School with advice from the Academic Affairs Section.

During the first two years of enrollment the Mentor will be available to meet regularly with the student to discuss any difficulties the student may have with coursework and lab rotations, or to discuss any general welfare concerns. It is recommended students meet with their Mentor at least once per term.

After progression to thesis research, the Mentor will continue to play a mentoring role for the duration of the student's enrollment as a member of the student's Thesis Committee. The Mentor cannot also be the student's Thesis Supervisor. If a student elects to undertake their thesis research in the research unit of the Mentor, a new Mentor shall be appointed.

3.1 Development of Academic Plan

In discussion with the Mentor, students develop their own course curriculum, including lab rotations, based on their educational background, intentions, and experience. The Academic Plan is developed to be completed within two years.

The Academic Plan will consider any transferable credits, specific experience and research interests of the student, and Mentors will ensure students meet OIST curriculum requirements. The Academic Plan will be submitted to the Academic Affairs Section by the student.

3.2 Mentor Report

A meeting between student and Mentor is required at least once per year (for the first two years of enrollment), and a Mentor Report is to be submitted to the Academic Affairs Section by the mid-point of each academic year of years 1 and 2 of enrollment (calculated from the student's starting term). Note that the Mentor is responsible for alerting the Graduate School of any difficulties the student may be facing, and that cannot be solved locally.

4. OIST Curriculum Requirements

The OIST PhD requires attaining at least 30 credits from Mandatory and Elective courses prior to the end of the second term of the fifth year of enrollment. To support timely progress and allow greater focus on thesis research, students are strongly encouraged to complete elective coursework within the first two years of the program.

10 credits are attained through mandatory requirements of the curriculum, comprising the Professional and Career Development courses, Lab Rotations, and submission and examination of the Thesis Proposal. At least 20 credits come from the Elective courses in the curriculum.

Students with a STEM-related Master's degree, or a professional medical degree, may apply for a waiver of up to 10 elective credits based on this prior learning. An application must be made within the first year of enrollment. Applicants must provide evidence of the content and level of courses completed and work undertaken in the higher degree in support of this application, and granting of a waiver is not automatic nor guaranteed.

An upper limit of 10 elective credits may come from the combination of external credits or waiver. Students entering with a waiver or inward transfer of external credits should note that this limit is cumulative, so restricts the ability to subsequently also count credit from external courses undertaken while at OIST.

No more than 10 credits can come from external credits as inward transfer credits at original enrollment (from graduate STEM courses taken at another institution but not yet counted toward a Master's or Doctoral degree).

Details regarding each element of the OIST curriculum, including completion requirements and time frames, are available on the relevant Graduate School web pages (course catalog and GS database).

4.1 Extension of Due Date

Students seeking an extension of any OIST curriculum requirement due date must submit an extension request to the Graduate School via the system in a timely manner.

4.2 Elective Coursework Requirements

Students develop an individualized choice of elective courses in discussion with the Mentor assigned to them at the time of enrollment. Academic Advisors in the Graduate School are also available for consultation.

Elective courses are offered as basic and advanced courses. Advanced courses may have prerequisite courses and/or assumed knowledge requirements. Basic courses are intended for a broader audience but nonetheless may also have considerable assumed knowledge requirements.

The number of credits assigned to each course is stipulated in the Course Catalog. Most electives are 2-credit courses, while a minority are 1-credit courses.

One OIST elective credit is set as about 20 hours of class time.

Students in their first year should take at least one 2-credit course per term. It is advised that students take no more than 4 elective credits per term, to leave time for reading and research work.

All students should be aware that preliminary thesis supervisors may require further coursework to be undertaken as a prerequisite for accepting students into their unit for thesis research. Likewise, the Dean of the Graduate School, the Thesis Committee, or the Curriculum and Examinations Committee may require students to undertake further coursework when deemed necessary.

4.2.1 Credit Transfer Policy

Incoming students may request credit transfer under the following conditions:

i) credit transfer may only occur from graduate level courses (Masters or Doctorate)

ii) courses for which credit transfer is sought must be STEM-related courses

iii) courses for which credit transfer is sought must not have been credited to another completed and conferred degree

iv) the student must be able to provide supporting documentation as required by the Graduate School

Transfer credits are calculated according to the following credit conversion formula:

One (1) OIST credit for every 20 hours face-to-face instruction, to an upper limit of 2 credits per course, with no fractional credits allowed.

4.2.2 Course Enrollment and Withdrawal

Enrollment in and withdrawal from courses require the endorsement of the Mentor. Depending on the timing of the request, endorsement by the Thesis Supervisor and the Course Coordinator may also be required.

4.2.2.1 Course Enrollment

Course enrollment must be made by the end of the first calendar month of the term.

4.2.2.2 Course Withdrawal

The result recorded for a course depends on when a student withdraws:

Withdrawal from a course in the first calendar month of the term is made with no result recorded.

Withdrawal from a course in the second month of the term is recorded as "W" (Withdraw).

Withdrawal after the second month of the term is marked as "WF" (Withdraw – Fail) result.

Where formal withdrawal from a course is not received by the Graduate School by the end of the teaching term, an "F" (Fail) result will be recorded.

4.2.3 Academic Transcript

Transcripts show courses taken, results, and credits earned towards the degree requirement of 30 credits. Courses are shown as Mandatory courses (10 credits), Elective courses taken at OIST (including any 'optional' courses whose credits do not count towards requirements for the degree), and External credits earned.

Any credit requirements waived due to previous Master's or Medical degrees are also shown on the transcript.

Where a course is taken more than once, the transcript shows the term in which the course was completed with the highest grade.

4.3 Mandatory Requirements (Professional and Career Development, Thesis Proposal and Lab Rotations)

The Professional and Career Development program, lab rotations, and submission and examination of a thesis proposal form the mandatory elements of the OIST curriculum. Details regarding each mandatory element, including completion requirements and time frames, are available on the relevant Graduate School web pages.

All components of the mandatory courses must be completed at OIST.

4.3.1 Professional and Career Development

Professional and Career Development sequences (PCD1 & PCD2) are mandatory, credit-bearing components -of the OIST curriculum. Together, they are designed to develop essential knowledge, experience, and competencies students need to succeed in the OIST graduate program, and to prepare for a broad range of future careers in academia and beyond.

PCD1 enhances student development of essential research and professional skills for scientists, including scientific writing, scientific computing, and research ethics. Through the Group Project Program, students also develop competencies in teamwork, collaboration, and science communication. The Group Project further offers opportunities for students to engage with and contribute to the local Okinawan community through team-based projects.

PCD 2 builds on this foundation with additional programming for students to become future leaders in science by offering training in core professional competencies, including leadership, team communication, and public presentation skills. The Public Presentation component combines workshop-based training with a practicum, providing students with opportunities to apply and refine the skills learned in real presentation settings.

In addition to these core trainings, PCD 2 provides specialized learning opportunities aligned with students' career aspirations. Students may choose either the Academia Track or the Industry Track, each of which includes a distinct set of required learning activities and experiential learning opportunities tailored to reaching success on the respective career pathway.

PCD 1 is prerequisite to advancement to PCD 2. Each course is worth 2 credits.

4.3.2 Thesis Proposal

A thesis proposal must be submitted for examination. Successful completion of the examination process is worth 3 credits.

4.3.3 Lab Rotations

Rotations form a major part of the student's work in the first year of the graduate program. In each rotation, the student will spend one term undertaking a specific project and will then move on to a different research unit. The Rotations provide a

variety of experience in different laboratories that will broaden the student's understanding of different disciplines, techniques, and ways of scientific thinking. Rotations may include theoretical work or modeling, as well as laboratory benchwork.

Importantly, lab rotations are intended to help the student select the most appropriate research unit and research question for their thesis research.

Three Lab Rotations are mandated (including one out-of-field), with a total value of 3 credits for completion of all three. Following Article 21-3 of "Standards for Establishment of Universities (大学設置基準)", credits for Lab Rotations are awarded following evaluation.

With approval of the Dean of Graduate School, prior research experience may be considered as one in-field lab rotation on equivalent completion of assignments required for this course.

Students nominate lab rotations following discussion with their Mentor. As units may only accept 2 students for lab rotations at any time, student nominations should be in order of preference. Placement cannot be guaranteed, but the Graduate School will always try to accommodate these preferences.

4.3.3.1 Research Internship – Lab Rotation Equivalency

Research internships of no less than four months duration, and which conform to all Lab Rotation requirements, may be considered for lab rotation equivalency.

All lab rotation requirements must be completed while the research intern is at OIST.

For Successful applicants to the OIST PhD program who enroll within twelve (12) months after the completion of research internship, the research experience may be considered as in-field lab rotation upon completion of the assignments required for the Lab Rotation.

4.3.4 Fourth Lab Rotation

When unable to secure a preliminary thesis supervisor after three lab rotations, with permission of the Graduate School a fourth, and final, lab rotation may be accommodated on exceptional grounds. Approval will only be granted where there is a high probability that the student may be accepted into the fourth rotation's unit as a research student at the conclusion of the rotation.

Students are encouraged to discuss the matter with the proposed lab rotation supervisor beforehand. The Graduate School, prior to approval of a fourth rotation, may consult with the lab rotation supervisor to discuss the matter.

Note that a fourth rotation serves solely as a last chance to secure unit placement and is not for credit. Students' acceptance to the thesis lab must be confirmed with the Graduate School by the thesis supervisor by the end of the third month of the rotation at the absolute latest. This is to allow time for exiting procedures should it be necessary for the student to cease enrolment.

4.4 Course Assessment

Each course is assessed as specified in the course catalogue. Assessment may be by means of written, practical, or oral test, or by continuous assessment, or by any combination of the above.

A student who is unable to complete an assessment item due to unforeseeable circumstances may be permitted by the Dean of the Graduate School to complete a supplementary assessment. In such cases an application for supplementary assessment must be submitted within 48 hours of the assessment.

4.5 Appointment of 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 is comprised of the Thesis Supervisor, the Mentor, and the Co-supervisor or the Third Thesis Committee Member, selected from among OIST faculty members by the student in consultation with the Thesis Supervisor. If the Co-supervisor is selected from faculty members external to OIST, an additional Thesis Committee member also needs to be selected from among OIST faculty members. The student is responsible for nominating the Thesis Supervisor and may suggest names for the other committee members. The

members of the Thesis Committee must be nominated and approved before appointment of the Examination Panel for the thesis proposal.

Thesis Supervisors must be full-time faculty members. In special circumstances External Faculty may be appointed as primary Thesis Supervisor, but in most cases these faculty members may only be appointed as Co-supervisor or as a Thesis Committee member. Any exception to the above must be approved by the Dean of the Graduate School. Faculty external to the university may be Co-supervisors provided an institutional agreement exists with the university of the external faculty member.

4.5.1 Process for Approval of Thesis Supervisor/s and Thesis Committee Members

In consultation with the intended Thesis Supervisor and Mentor, the student completes and submits the form for Preliminary Thesis Supervisor Nomination to the Graduate School. Note that if a prospective thesis supervisor has less than four years remaining until retirement, students must also concurrently secure an internal co-supervisor. Following the retirement of the initial thesis supervisor, the internal co-supervisor will become supervisor and take on financial and academic responsibility for the student.

Later, in consultation with the intended Thesis Supervisor, Mentor and prospective members of the Thesis Committee, the student completes and submits the form for nominating Thesis Committee members Confirmation of Third Committee Member or Co-supervisor.

The Thesis Supervisor and Thesis Committee members for each student are formally appointed by the Dean of the Graduate School, with advice from the Academic Affairs Section. If the proposed Thesis Supervisor is the same person as the Mentor, a new Mentor will be appointed by the Dean of the Graduate School to avoid any conflict of interest.

4.5.1.1 Student/Supervisor Mutual Expectations on Joining the Thesis Research Unit

To best support both students and faculty from the beginning of thesis research to successful graduation, the following policy and procedure has been developed to ensure mutual expectations are discussed before joining a thesis research lab.

Doctoral research involves a lot of time, hard work, and importantly, development and maintenance of the supervisor/student relationship. Shared research interests are of course important, but experience has shown that having a candid discussion about other relevant matters (for example, supervision style, communication, or remedial knowledge that may be required) before entering the lab can help avoid possible future misunderstandings and greatly improve the chances of successful completion.

In line with Graduate School Policy "Student Responsibilities and Expectations" and Academic Policy 4.5.2 Preliminary Thesis Supervision, the following agreement assists students and preliminary thesis supervisors come to a mutual understanding of expectations on joining a thesis research unit.

Following a discussion of the items within (and any other relevant matters), the agreement is formalized and signed only by mutual agreement. **When mutual understanding cannot be reached, students will not be able to join the unit.**

In line with Academic Program Policy "4. OIST Curriculum Requirements," when the supervisor deems it necessary that the student must first complete further study to conduct thesis research in the unit, this will be noted and a study plan developed. Further study may consist of coursework, Independent Study, External Study and Research, or any combination thereof, and must be tailored toward the specific aims of the student's proposed research. If assessment of this further study is required, how this will be done will be noted in the agreement, including a timeframe of when assessment will take place.

Assessment must happen prior to submission of the thesis proposal. Faculty must be aware that only the further study noted in the agreement may be used to assess whether a student has reached the required minimum level of learning to remain in the unit (pending successful completion of the thesis proposal and examination process and continuing satisfactory academic progress thereafter).

Students, in signing this agreement, bear responsibility for successfully meeting any noted requirements. **Students should be aware that non-compliance, or failing to meet these requirements, may result in the supervisor retracting their offer of thesis supervision. As thesis supervision is a mandatory requirement following lab rotations, this may lead to discontinuation of enrollment.**

Both supervisor and student, in signing this agreement, agree to always act in good faith. Thesis subject and research plan may change or evolve over the development of the thesis proposal, and in most cases no amendment to this agreement will be necessary. If, however, any amendment to this agreement is deemed necessary, this must be made in a timely manner, and only by documented mutual agreement. If deemed necessary by either party, any discussion of amendment may be attended by members of the student's Thesis Committee.

Finally, in all cases students should remain aware that successfully passing the thesis proposal examination remains their responsibility. Compliance with the agreement should assist students in preparation for their thesis proposal examination but does not guarantee success during examination.

"What if these mutual expectations are not met?"

Graduate School encourages the supervisor and student to continue discussing their mutual expectations after the initial agreement because their situation will likely change. Both parties should bring up their concerns in these discussions if they feel their expectations are not met. Graduate School is prepared to support both student and faculty should our assistance be requested.
In an unfortunate case where the supervisor determines that the student has not met the expectations after reasonable attempts of communication, the following outcomes are possible.

Cessation of preliminary supervision

When students have not met the terms of the agreement, preliminary supervision may cease after the following:

i. An email stating the supervisor seeks to cease supervision, including the reasons for this decision, delivered to the student (and Cced to the student's standing members of their Thesis Committee and the Graduate School)

ii. As soon as possible following delivery of the above email, a meeting is held in good faith between the student, standing members of the student's Thesis Committee, and a representative of the Graduate School (for administrative reference), at least one calendar month prior to the date of proposed cessation, aimed at any possible resolution that may allow the student to remain in the unit

iii. When the decision on cessation of supervision is final, the supervisor agrees to financially support and allow the student to remain in the unit to finalize any continuing project(s) to the date of cessation.

Immediate repercussions of notification of possible cessation of preliminary supervision

Students should be aware that from 2nd year of enrollment (but for those completing a 4th lab rotation) all enrolled students are required to have a thesis supervisor and placement within a research unit. When notified that the thesis supervisor seeks to cease preliminary supervision, students are recommended to submit a Notice to Vacate Property as housing is contracted from a vendor external to OIST and cancellation of this contract requires thirty (30) days' notice (forty (40) days' notice for off-campus housing). Note that where the student is able to secure thesis supervision in another unit within this period, the notice of vacation may be retracted.

4.5.2 Preliminary Thesis Supervision

Status as a thesis research student in a unit is confirmed only on successfully passing the thesis proposal examination. On receipt of a "Pass" grade, status will be automatically noted by the Graduate School. Until that time, placement in a thesis research lab is on a preliminary basis only, and the supervisor is known as "Preliminary Thesis Supervisor".

During writing of the thesis proposal, and through the subsequent thesis proposal examination process, students must fulfil all requirements of the Preliminary Thesis Supervisor, including lab instruction, development of the research question(s), coursework, and any remedial study required (all of which must be pertinent to the student's thesis proposal and future research).

4.6. External Study and Research

Students may take courses or conduct research external to OIST under the following conditions.

Following completion of lab rotations, a student may study off-campus while taking approved courses at other graduate schools or research institutions outside OIST. Extra costs associated with External Study and Research (for example, accommodation or transportation fees) are financially supported by the Unit.

A student may conduct thesis research outside OIST only at a partner institution with which the University has entered into a formal agreement facilitated by the Graduate School. Any period of off-campus research granted shall be counted towards the student's enrollment. The minimum period of external study or research allowed is one calendar month.

Conferences, fieldwork, summer school and workshop attendance outside OIST are not normally considered as External Study and Research, but as business trips.

All periods of External Study and Research, irrespective of purpose, must be recognized by the Curriculum and Examinations Committee and approved by the Graduate School and the supervisor. Students and faculty should be aware that concluding a formal agreement may take a sizeable amount of time, so this process should be initiated as soon as possible.

5. Thesis Proposal and Examination

The PhD thesis proposal is the student's plan for their thesis research. The thesis proposal must be the student's independent work. The student is required to make an original contribution to the development of the research question, design of the research, and review of the literature. While developing the proposal the student is expected to discuss the intended research with the thesis supervisor. The supervisor should advise the student on what is possible in the research unit, and discuss the scientific questions, the relevant existing work, and the research design and methods.

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

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

5.1 What constitutes a well-written Thesis Proposal?

A well-written thesis proposal presents a research question that is formulated as a testable hypothesis. Students must be able to define the kind of research they are proposing as a clear hypothesis and present the kind of experimentation that can address this question definitively. Students should limit the scope of the question they aim to answer to what is achievable within the time available (approximately two years). It is better to propose too little, rather than too much, as further research can always be undertaken if time allows. The majority of proposals examined in the past have been required to undergo considerable reduction in scope following the examination.

The introduction should cover the relevant literature adequately but need not be exhaustive if the literature is vast. All important papers at least should be cited. Students must be able to demonstrate that they are aware of both the history and the current concerns in their suggested area of research. Students should be able to discuss what is not known, and how their research will contribute to the body of knowledge in a meaningful way. A hypothesis should arise from the student's analysis of what is missing and be stated clearly as one or two aims. It is advisable to limit investigation to "something new with existing techniques", or "a new technique with something already in existence", but not a combination of the two.

Proposed experiments should have the statistical power to adequately resolve the signal differences necessary to prove or disprove the thesis question. The number of experiments necessary to adequately resolve the question must be considered and addressed in the research plan. Experiments should not depend on the purchase of additional capital equipment, and this should be carefully discussed with the supervisor. Students should be able to demonstrate that they can perform the desired experimental techniques and that the experiments are suited to the task. Time-permitting, any pilot experiments and their results should be included.

A final aspect is that of risk-management. It is important to consider how the project may be adapted within the relevant time-constraints if all does not proceed as planned.

The above may not necessarily apply to students pursuing research in theoretical physics or mathematics. Nonetheless, similar clarity in stating aims, and attention to using appropriate methods, should be presented.

The research plan should aim to finish experiments well before the end of the fifth year of enrollment (it is advisable that these be finalized by the end of the fourth year of enrollment), to allow submission of the thesis on time. The thesis is to be submitted by the end of the second term, fifth year of enrollment. Examinations will occur during the final term of a student's five-year enrollment period.

5.2 Content of the Thesis Proposal

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

Front page: Students are to utilize the template provided by the Graduate School. This includes the name and logo of the OIST Graduate University, the words "PhD

Thesis Proposal", the title of the thesis proposal, the names of the student and primary supervisor (and co-supervisor, if applicable), and the date of submission.

Abstract: An abstract should be limited to as few words as necessary; and should always be less than one page in length. Students should be aware that many online referencing systems allow for only the first 200 words to be included. No figures or references should be included. Students should avoid technical and methodology details where possible.

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

Research Plan: This should begin with the specific aims of the research and provide a concrete plan for completion of the research including the design and methods. This section should include an explanation of how the methods will address the aims and the significance of the results for the field. A completion timeline must be detailed in this section (for example, a GANNT chart). This is to aid in the student's time management over the course of their research, and further to assist examiners in their assessment of the viability of the proposal.

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

Bibliography: The bibliography should include all references cited in the text but should not include references that have not been cited. In preparing the bibliography, students may use any of the conventional styles of referencing that include the titles of articles, such as the Harvard, Vancouver or ACS

systems. However, the style chosen must be used consistently and correctly throughout, both for in-text citations, and formatting of bibliographic entries.

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

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

The complete thesis proposal document must be submitted to the Graduate School by the due date as nominated by the Dean (see the Academic and Examinations Timeline). Earlier submission may be required in order to provide the thesis proposal to the examination panel no later than four weeks (28 days) prior to the oral defense. Only in exceptional circumstances can an extension of the due date for thesis proposal submission be granted by the Graduate School, and only on receipt of a Request for Extension of Due Date before the due date. These requests must include documented support from the student's supervisor.

5.2.1 Formatting Requirements of the Thesis Proposal

Page size: Theses are to be formatted to A4 page size.

Margins: The left margin should be 3 cm. Top, right, and bottom margins should be 2.5 cm.

Spacing: Spacing should be 1.5 line spaced for examination and single spacing for final submission.

Justification: The main body of text left-right justified. Titles should be left-justified. Equation numbers should be right justified.

Pagination: Preliminary pages, ending before the main body of text, may be numbered sequentially using roman numerals. The main body of text, beginning with the first page of the introduction, must be numbered sequentially, including figure pages and blank pages, starting at page number 1 for the first page of the introduction. Arabic numerals are to be used.

Font: Times New Roman, 12-point font should be used for all main body text. For graph legends, titles, image annotations, etc., Arial, Helvetica or Calibri, 10-point font, should be used for presentation clarity. For headings, any font or size may be used for presentation and design considerations.

Equations: Equations are considered part of the main text. As such, they should be formatted consistently throughout the thesis proposal (or thesis), following the advice of the Thesis Supervisor. Equations should be numbered to the right-hand margin.

Spelling: American spelling.

Colors: Color may be used in images and charts where necessary to enhance comprehension, but not for normal text or headings. The combination of red and green for binary images should be avoided to assist those who have difficulty in discerning hues. All text should be in black unless color-coding is necessary for meaning or contrast.

Figures: Figures should appear as close as possible to the first mention of them in the text. All figures must be referred to in the text by either a parenthetical mark-up (Figure 1.2), or phrasing such as "Sequencing data, shown in Figure 1.2, shows that…". A parenthetical mention, but not an in-text mention, may be abbreviated as (Fig. 1.2). The number of the chapter should be part of the figure number.

Figures must be accompanied by a caption that describes the material cleanly and succinctly. Figure captions may start with a brief title in bold, which can then be referenced in the list of figures.

As a general rule, figures should not have captions that run across pages. If a figure and its caption will be larger than one page, rewriting should be considered, or a reorganization of the figure. If this cannot be avoided, the figure caption should continue on the immediate next page, with a reference comment at the start of the text to the fact that it is a continuation. No other main body text should then appear on that page.

When possible or applicable, automatic placement of figures by latex is encouraged, but should be checked by the author.

Tables: All tables should be referred to in the text by number (for example, "Table 3.1 describes all particles found in…"). Tables may be printed in landscape rather than portrait orientation but must be printed on a separate page with continuing and sequential pagination. Tables may extend for more than one page but should then have the table header row repeated on each page. Arial, Helvetica or Calibri, 10-point font, should be used for tables. Tables should have a heading and may have a caption. The number of the chapter should be part of the table number.

Images: Images are vital to presentation of scientific data. Textual annotations must be correctly labelled, and legends, when used, must be clear and legible. Small symbols should be used on charts for data points. Axis marks and axis labels should be large enough to be read clearly. All white space should be used where possible. Headings for charts and captions explaining the data within should be meaningful. Students must be aware of expected standards covering image manipulation and the standard practice for image presentation within their field and adhere to it. Excessive density, contrast, and hue manipulation of photographic images should be avoided. Where extensive manipulation of images is required for data extraction or analysis, this must be clearly explained in the description of methodology, and explicitly in the caption for each figure.

Word count/Length: As a general rule, thesis proposals should be no longer than 30 pages in length. No minimum word count is imposed on OIST theses. However, as with the thesis proposal, students must be concise in language and succinct in expression. The average length of a PhD thesis will vary between fields and between authors, but typical PhD theses are 100–400 pages in length (20,000–80,000 words of main body text).

Citations: All papers cited in the thesis must be referenced in a style relevant to the student's field. All references must include the full title, authors, reference location and the year of publication, all in the same style for all references. Citation style must be consistent throughout the thesis. Reference manager software, such as Endnote, or BibTex which offers similar functionality with LaTeX, may be used.

Editing: The thesis proposal (and thesis) must be entirely the work of the student. Minimal editing may be provided by the Thesis Supervisor(s) or peers, but only as a review of initial drafts. Assistance should not be sought from OIST

internal or paid external editing services unless directed to do so by the Dean of Graduate School in revision stages.

5.3 Thesis Proposal Examination

5.3.1 Examination Panel

The Examination Panel for the thesis proposal is comprised of three members: an External Examiner, an Internal Examiner, and a Chair appointed by the Curriculum and Examinations Committee. The Examination Panel will conduct an oral examination, up to three (3) hours in length, that will include a defense of the thesis proposal.

The Examination Panel will include an External Examiner who is expert in the field of the proposed thesis, has graduated at least one doctoral student, and is external to OIST. The Curriculum and Examinations Committee appoints the External Examiner, taking into account nominations provided by the proposed Thesis Supervisor. Similar conflict of interest precautions applies as outlined below. The CEC may alternatively appoint an examiner who has not been nominated by the Supervisor. The CEC is responsible for determining if the nominated examiner is expert in the field of the proposed thesis research.

The Examination Panel will also include an Internal Examiner chosen from OIST faculty members, who is nominated by the proposed Thesis Supervisor and appointed by the Curriculum and Examinations Committee.

An OIST faculty member with knowledge of OIST standards and regulations concerning thesis proposal examinations is appointed by the Curriculum and Examinations Committee and will serve as chair of the Examination Panel. The Examination Panel will not include the proposed Thesis Supervisor or the student's Mentor. The Thesis Supervisor (and/or Co-Supervisor) only may attend the oral examination as an observer without speaking rights.

5.3.2 Conduct of the Examination

Examinations are conducted online via video conference. If an examiner is on site for another purpose, they may attend the examination in person.

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

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

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

In (1), the student is expected to demonstrate adequate fundamental knowledge in the field or fields of study relevant to the thesis topic, and the ability to organize, apply and convey that knowledge effectively.

In the defense of the thesis proposal (2), the student is expected to demonstrate the necessary advanced knowledge and understanding to undertake the proposed thesis research and show their original and independent contribution to the proposal and the research question. The student is further expected to demonstrate that the timeline for completion is realistic within the normal term of enrollment at OIST (5 years of enrollment in total).

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

The examination shall not continue for more than three (3) hours maximum, but may be concluded if the examiners are satisfied that they have sufficiently examined the student and are able to make a recommendation. The Chairperson formally concludes the examination when the allowed time has elapsed, or the examiners have indicated they have no further questions.

After the examination, the External Examiner and Internal Examiner independently provide written recommendations on the examination result to the Graduate School within one week of the examination. The Graduate School in turn forwards these to the Chair. After perusing the examiner recommendations, the Chair provides their own recommendation on examination result to the Graduate School, and to the Curriculum and Examinations Committee as required.

The examiners recommendation must include one of the following recommended examination results listed below:

ⅰ) Pass. The examiners recommend that the student be advanced to candidacy.

ⅱ) Pass, minor revisions required. The thesis proposal may be accepted pending minor revisions. No re-examination is required. The Examiner's recommendation should itemize the deficiencies of the thesis proposal that need to be addressed in the revisions, and any deficiencies in the scope and depth of the student's knowledge that require remediation.

ⅲ) Major revisions required. This outcome is possible only if the thesis proposal is not acceptable in its present form but could be acceptable pending major revisions. The Examiner's recommendation should itemize the deficiencies of the thesis proposal that need to be addressed in the revisions, and any deficiencies in the scope and depth of the student's knowledge that require remediation. Reexamination may or may not be required.

ⅳ) Fail. This is the outcome when academic preparation is insufficient, or the thesis proposal is not suitable for re-examination, or the thesis proposal has not met the required standard on re-examination. No re-examination is allowed.

For further information please refer to the "Procedure and Responsibilities of the Chair of Thesis Proposal Examinations" found on the Graduate School website.

5.3.2.1 Re-examination of the Thesis Proposal

Any re-examination required under any circumstances will in principle be on a "Pass/Fail" basis.

Any re-submission is to be accompanied by a letter detailing the revisions made, and identifying where within the document these revisions can be found.

5.3.3 Confirmation of Result of Thesis Proposal Examination

On receipt of the examiners' recommendations, the Chair of the examination, as the representative of the Curriculum and Examinations Committee, makes their own recommendation.

When the Chair's recommendation endorses the result of the examiners' recommendations, and no objection has been raised, the result is released to the student and the Thesis Committee, and the result reported to the Curriculum and Examinations Committee.

When the Chair's recommendation does not endorse the result of the examiners' recommendations, the result is withheld and discussed by the Curriculum and Examinations Committee, which forwards its recommendation to the Dean of Graduate School. The result is then released to the student and the Thesis Committee.

Examination result notifications include the recommendations of the examiners and Chair of the examination. If revisions are required, a timeline for their completion is described. Revisions must be endorsed by the Thesis Supervisor (but endorsement by the internal or external examiner may also be required as described in the notification). Once revisions have been endorsed, the student's progression to thesis research is ratified at the next available meeting of the Curriculum and Examinations Committee.

6. The OIST PhD Thesis

The PhD degree is conferred by the University in recognition of completion by the student 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 enrollment, 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 student 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 student must present their work in a thesis and defend it in an oral examination. A student may not submit for examination work that has been included in a thesis or dissertation that has been previously submitted towards a degree qualification.

6.1 Thesis Requirements

6.1.1 Thesis by Dissertation

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 and Submission of the OIST PhD Thesis.

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 may be taken into account by thesis examiners, and is essential for future career prospects.

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

6.1.2 Thesis by Publication

Thesis by Publication allows students to collate their published research papers, and with complementary explanatory material, submit these in thesis format for examination.

Thesis by Publication avoids rewriting of material which the student may no longer hold copyright over once it has been published. Although most journal companies do allow reuse of material published in their journals for the purpose of a thesis, some impose significant restrictions on republication. Students must be aware of

and abide by any such restrictions when considering the Thesis by Publication option.

To submit for examination under the Thesis by Publication option, a thesis on a single topic or line of research should be written containing an overall introduction and literature review, a list of published papers that are to be considered for the thesis, and a discussion of results and conclusions. The thesis will thus be examined as a single, coherent work of research.

Suitable papers for inclusion as part of a Thesis by Publication are defined as "published peer-reviewed articles", not including abstract-only publications, to which the student has made a significant contribution.

Diagrams/tables from the constituent papers may be included in the written thesis, but the text of the thesis must be the student's own original work. The thesis may also contain methods, results, data, and discussion not included in the published papers.

Papers published over several years will need to be set in perspective and tied into the narrative in the discussion. The discussion should include a consideration of the context and impact of each of the constituent papers, and a reflection of the development of the research as a result. How did these papers advance the field or contribute to the subsequent research path?

Where published papers have been co-authored, the student must explicitly identify which work was their own contribution. Examiners will be directed to consider whether the amount of work completed by the student is sufficient to merit award of the OIST PhD.

For examination purposes, copies of the constituent papers will be distributed to examiners with the thesis. For final publication in the OIST repository, only the final version of the thesis with links to the constituent papers is published.

6.2. Preparation and Submission of the OIST PhD Thesis

The guidelines below set out the organization and formatting requirements of the OIST PhD thesis, in order to assist students in the preparation of theses for submission.

Plagiarism and Fraud: Students are reminded that they must take all necessary precautions to avoid plagiarism and fraudulent misrepresentation of data. The Graduate School conducts plagiarism checks on all submitted theses, and may require rewriting if present. When submitting a thesis by dissertation, students should avoid self-plagiarism through rewriting earlier published work and/or self-citation.

Reproducibility: OIST is committed to openness in science. A cornerstone of this philosophy is reproducibility. Your thesis should present all data and methods necessary to allow complete repetition of the experiments and their results, and to allow expert review of your analysis of data. Accordingly, you must ensure that your methods are comprehensive, and that your data sets and code are available for subsequent review by lodging them in the OIST Institutional Repository or some other data repository or database, as appropriate.

Inclusion of Published Material: In some cases, inclusion of published material as chapters is desirable. Normally, however, when published material is included in the thesis, it should be modified in order to remove redundancy and achieve a coherent narrative. It is essential to indicate clearly any portion of the thesis that duplicates parts of articles that were previously published by the candidate. The candidate must cite the article and indicate any parts of a section or chapter of the thesis that depend on the previously published article. This does not apply to previous documents such as thesis proposals and reports written as part of the candidate's research.

An appropriate level of independence on the part of the student is expected. If parts of the thesis are based on published work under joint authorship, the supervisor should provide a statement about the extent to which this is the candidate's own work as part of the standard supervisor declaration.

When including material from publications in a thesis, students should be aware of the copyright policies of journals. It is recommended that students request journals to vary their normal copyright agreements to allow material from an article to be included in a thesis (as the thesis will be publicly available through the University's library). If, for copyright reasons, material from previously published papers may not be included in the electronically published thesis, the electronically published thesis may cite papers that are already published.

6.2.1 Thesis by dissertation format

Title Page: This page is the first printed page.

Title: Select a descriptive and unique title that clearly communicates your research. Avoid brief or misleading titles. The title will be displayed on your graduation testamur. The title should be unique within OIST, to distinguish your thesis from those of others working on similar subject.

Declaration of Original Authorship: Students must provide a signed declaration that the thesis is their own work and is original.

Abstract: An abstract should be limited to as few words as necessary; and should always be less than one page in length. Students should be aware that many online referencing systems allow for only the first 200 words to be included. No figures or references should be included. Students should avoid technical and methodology details where possible.

Acknowledgements: Student should acknowledge assistance received in any of the following areas:

ⅰ) research design
ⅱ) research execution
ⅲ) data analysis
ⅳ) data or research interpretation
ⅴ) writing, proofreading, or copyediting of the manuscript

Co-authorship: Co-authorship is not allowed in an OIST PhD thesis. All research and analysis is to be the student's own work. Where co-authors have contributed to papers arising from the research, this data should not be included unless essential to the scientific narrative. When included, full disclosure of the contribution is required. Any and all work conducted by others, either internal or external to OIST, must be acknowledged.

List of Abbreviations: All abbreviations used in the thesis must be listed with their definitions. This includes trivial and commonly used abbreviations, at your discretion, but not words that have entered general English usage (laser, for example, or DNA). In particular, non-standard abbreviations should be presented.

Glossary: A glossary of specialized terms should be included, as necessary.

Nomenclature: Details of specialized nomenclature should be included, as necessary.

Dedication: An optional dedication may be included

Table of Contents: A table of content should include page numbers of chapters, sections, and subsections.

List of Figures and List of Tables: A list of figures (and likewise a list of tables) should be included.

Main body: The main body of text may be arranged as a single body of material, divided into subsections of Introduction (including a statement of the problem to be investigated), Methods, Results, Discussions, or, if preferred, in chapters that each deal with a smaller part of the research, each itself divided into subchapters as above.

Reference List: A complete list of all articles and books cited within the thesis, once only, at the end of the thesis. Citations should provide the title of the reference, and list at least the first three authors (et al. format is acceptable). Articles not cited within the thesis should not be included.

Appendices: As required. Unlike a journal article, no data or discussion may be presented separately as unpublished supplementary documents or data. Appendices should be used instead for material that is tangentially relevant to the thesis but does not belong in the main narrative. If reference is needed to large volumes of data that cannot be printed (for example, an annotated genome, or a simulation including moving images), the data should be located on an OIST repository or public database and the URL of the dataset provided in the thesis.

6.2.2. Thesis by publication format

Title Page: This page is the first printed page.

Title: Select a descriptive and unique title that clearly communicates your research. Avoid brief or misleading titles. The title will be displayed on your

graduation testamur. The title should be unique within OIST, to distinguish your thesis from those of others working on similar subject.

Declaration of Original Authorship: Students must provide a signed declaration that the thesis is their own work and is original.

Abstract: An abstract should be limited to as few words as necessary; and should always be less than one page in length. Students should be aware that many online referencing systems allow for only the first 200 words to be included. No figures or references should be included. Students should avoid technical and methodology details where possible.

Acknowledgements: Student should acknowledge assistance received in any of the following areas:

i) research design
ii) research execution
iii) data analysis
iv) data or research interpretation
v) writing, proofreading, or copyediting of the manuscript

Co-authorship: Co-authorship is not allowed in an OIST PhD thesis. All research and analysis is to be the student's own work. Where co-authors have contributed to papers arising from the research, this data should not be included unless essential to the scientific narrative. When included, full disclosure of the contribution is required. Any and all work conducted by others, either internal or external to OIST, must be acknowledged.

List of Abbreviations: All abbreviations used in the thesis must be listed with their definitions. This includes trivial and commonly used abbreviations, at your discretion, but not words that have entered general English usage (laser, for example, or DNA). In particular, non-standard abbreviations should be presented.

Glossary: A glossary of specialized terms should be included, as necessary.

Nomenclature: Details of specialized nomenclature should be included, as necessary.

Dedication: An optional dedication may be included

List of Publications: List publications, including links to constituent papers, and identify your contribution to each article.

Table of Contents: A table of contents should include page numbers of chapters, sections, and subsections.

List of Figures and List of Tables: A list of figures (and likewise a list of tables) should be included. Lists must be sequential (listing figures and tables in order of appearance in the thesis). As with citations, these lists serve to assist the reader in efficiently locating sought after information. As such, please note that these tables may require amendment in the post-examination final version of thesis as publications must be removed prior to submission.

Main body: The main body of text may be arranged as a single body of material, divided into subsections of Introduction (including a statement of the problem to be investigated), Methods, Results, Discussions, or, if preferred, in chapters that each deal with a smaller part of the research, each itself divided into subchapters as above.

Reference List: A complete list of all articles and books cited within the thesis, once only, at the end of the thesis. Citations should provide the title of the reference, and list at least the first three authors (et al. format is acceptable). Articles not cited within the thesis should not be included.

Appendices: As required. Unlike a journal article, no data or discussion may be presented separately as unpublished supplementary documents or data. Appendices should be used instead for material that is tangentially relevant to the thesis but does not belong in the main narrative. If reference is needed to large volumes of data that cannot be printed (for example, an annotated genome, or a simulation including moving images), the data should be located on an OIST repository or public database, and the URL of the dataset provided in the thesis.

6.2.3 Formatting Requirements

Formatting requirements of the thesis are identical to those of the thesis proposal.

7. Thesis Defense Examination and Graduation Requirements

A candidate is examined both on the written thesis and in an oral examination. The examination process is strictly confidential. The candidate must submit to the Graduate School written Notice of Intent to Submit a Thesis in accordance with the Academic and Examinations Timeline for the examination to be arranged before the proposed submission date. Before submission of the thesis, the Graduate School must confirm that the course credits necessary for graduation have been completed.

7.1 Appointment of Thesis Examination Panel

After receiving the Notice of Intent to Submit a Thesis, the Curriculum and Examinations Committee will appoint a Thesis Examination Panel from within and outside the University as follows:

Two Examiners, selected from two different working-countries, who have graduated at least one doctoral student each, and who are expert in the field (or part thereof) of the thesis and external to OIST. The CEC appoints examiners taking into account nominations provided by the Thesis Supervisor. The Thesis Supervisor is responsible for ensuring that nominated examiners meet CEC requirements. The Academic Affairs Section of the Graduate School is responsible for checking that these requirements are met. If the requirements are not met, the nomination shall not be submitted to the CEC, and the Thesis Supervisor shall be informed of the reason(s) for declining the examiner and asked to provide a new nomination.

The CEC may alternatively appoint an examiner who has not been nominated by the Supervisor. The CEC is responsible for determining if the nominated examiner is expert in the field of the proposed thesis research.

A Chair selected from OIST faculty members with knowledge of OIST standards, regulations and procedures concerning PhD thesis examinations.

7.2 Conflicts of Interest in Examinations

The CEC will not appoint examination panel members who have or appear to have conflicts of interest. For OIST faculty members, a conflict of interest is deemed to exist if the faculty member is involved in the supervision of the thesis research of

the student, or is collaborating in the research project of the candidate. For non-OIST faculty members a conflict of interest is deemed to exist if they:

i) are involved in the research,

ii) have current collaborations with members of the thesis laboratory, or previous collaborations in the past 5 years;

iii) have had prior or ongoing contact with the Thesis Supervisor and/or Co-supervisor that may appear to compromise objectivity, such as having been in the same department as the Thesis Supervisor and/or Co-supervisor, having been a thesis or postdoctoral supervisor of the Thesis Supervisor and/or Co-supervisor (or vice versa), or having joint publications or grants with the Thesis Supervisor and/or Co-supervisor in the past 5 years;

iv) have had prior contact with the student that may appear to compromise objectivity, such as having been in the same department as the student, having supervised the student in academic or project work, or having joint publications or grants with the student at any time

v) will be examining consecutive students of the Thesis Supervisor and/or Co-supervisor

7.3 Examination of the Written Thesis

The two external examiners read the thesis, and separately prepare a recommendation regarding the acceptability of the thesis for a PhD and progression to oral examination from the following:

ⅰ) Pass. I recommend the thesis be accepted as is and the student be advanced to oral examination.

ⅱ) Pass, minor revisions required. I recommend the student be advanced to oral examination. The thesis may be accepted pending minor revisions. No re-examination of the written thesis is required. The Examiner's recommendation should itemize the deficiencies of the thesis that need to be addressed in the

revisions.

iii) Defer. This outcome is possible only if the thesis is not acceptable in its present form but could be acceptable pending major revisions. The Examiner's recommendation should itemize the deficiencies of the thesis that need to be addressed in the revisions. Oral examination cannot proceed until these revisions are complete and the written thesis re-examined.

iv) Fail. This is the outcome when academic preparation is insufficient, or the thesis is not suitable for re-examination, or the thesis has not met the required standard on examination. No re-examination is allowed.

The Chair of the Thesis Examination Panel reviews the recommendations and decides if the oral examination may proceed. Where necessary, the Chair may formally seek advice related to the thesis research from other OIST faculty with relevant knowledge of the field.

Where the result is in dispute, the Chair may convene a meeting of the Thesis Examination Panel to determine a joint recommendation, or may unilaterally provide their own recommendation which is passed to the CEC along with the examiners' individual recommendations. The CEC then provides a recommendation to the Dean of Graduate School on a final result.

7.3.1 Re-examination of the Written Thesis

Any re-examination required under any circumstances will in principle be on a "Pass/Fail" basis.

Any re-submission is to be accompanied by a letter detailing the revisions made, and identifying where within the document these revisions can be found.

7.4 Oral Examination

The Thesis Examination Panel conducts a closed oral examination for up to two hours via video conference. If an examiner is on site for another purpose, they may attend the examination in person. It is a requirement that all examiners participate in the oral examination.

The Thesis Supervisor (or Co-Supervisor) may attend the oral examination, but only with the express permission of all primary participants of the examination (the student, the Chair, and the examiners). Permission to attend is sought by the Academic Affairs Section only. Any objection raised will mean the Thesis Supervisor (or Co-Supervisor) is unable to attend the examination. The reason for any objection will not be disclosed. When allowed, the Thesis Supervisor (and Co-Supervisor, as applicable) may attend only as an observer, and may not participate in the examination.

After the oral examination the examiners provide a recommendation of result from one of the following:

i) Pass. I recommend the student pass the oral examination.

ii) Pass, minor revisions required (mandatory). I recommend that the student pass the examination. The thesis may be accepted pending minor revisions. No re-examination is required. The Examiners' recommendations itemize the deficiencies of the thesis that need to be addressed in the revisions.

iii) Pass, minor revisions recommended (optional). I recommend the student pass the oral examination. Minor revisions are recommended and are detailed in the Examiner's Recommendation. These revisions are not mandatory and may be completed at the student's discretion alone. No re-examination is required.

iv) Fail. This is the outcome when academic preparation is insufficient, or the thesis is not suitable for re-examination, or the thesis has not met the required standard on examination. No re-examination is allowed.

The Chair, after receiving the examiners' recommendations, will prepare their own recommendation of result, stating their recommendation chosen from the options listed above and including relevant points of discussion that contributed to the decision.

The Chair's recommendation will be forwarded to the Dean of the Graduate School and, if required by the Chair, the Curriculum and Examinations Committee.

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 a "Pass, minor revisions required" outcome the recommendation specifies the revisions to be made, which may be by reference to individual examiners' reports. The Dean of the Graduate School informs the candidate of the required revisions. After the candidate has made the revisions the Thesis Supervisor (and, when applicable, one or both examiners) approves the final version of the thesis or, if the revisions are unsatisfactory, the thesis is returned to the student for further corrections. When the final version of the thesis has been approved, the student must lodge the final version of the thesis with the Graduate School. Where revisions are optional only, the student may choose to submit as is without endorsement. Note, however, that if opting to revise, these revisions too must be endorsed by the Thesis Supervisor(s) prior to submission of the final version of the thesis.

It is strongly recommended that students remain at OIST until the final version of the thesis has been accepted and lodged with the Graduate School.

A candidate who has failed the thesis examination may lodge an appeal. The procedures for an appeal are separately stipulated.

7.5 Public Presentation

There is no requirement for a public defense of the degree thesis as part of the examination process. As a graduation requirement, however, and as part of their professional development, students are expected to give a final presentation of their research for the OIST community. Examiners are asked to attend the public presentation without speaking rights and are advised that the public presentation does not form part of the examination.

7.6 Summary of Graduation Requirements

In order to graduate with the OIST doctoral degree, a candidate must have been registered as a full-time student for a minimum enrollment period stipulated in

Article 35 of the University Rules and successfully met the following minimum requirements:

ⅰ) successfully completed at least 30 credits, including all mandatory credit-bearing elements of the program,
ⅱ) published, or submitted for publication in a peer-reviewed journal, with the exclusion of predatory journals (see for example list here), at least one article on original research, derived from OIST-funded thesis research,
ⅲ) submitted a PhD thesis for examination,
ⅳ) have given a public presentation of their thesis research,
ⅴ) obtained a Pass outcome of the Thesis Examination

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

8. Student Academic Progress

The Graduate School is committed to early identification and support of students who are not meeting academic requirements, and to maintaining academic standards of students in the PhD program.

The Academic Affairs Section, on behalf of the Dean of Graduate School, monitors the academic progress of all students, including performance in lab rotations, coursework, and thesis research.

8.1 Monitoring of Academic Progress

Regarding coursework and lab rotations, grades are collated and assessed to ensure continued academic success. Successful completion of pre-requisite coursework is also confirmed before students are allowed progression to subsequent courses.

Any "Fail" grade in any academic year will constitute lack of academic progress.

Students who are not meeting academic program requirements are alerted by the Dean of the Graduate School. The Graduate School may require the student to meet with their Mentor to discuss and decide upon a course of action.

Students may be required to undertake remedial action, including further coursework, as required by the Dean of Graduate School. Mandatory courses of action may be developed in communication with the student's Mentor or Thesis Supervisor, as appropriate. In any case, the Mentor and Thesis Supervisor will be informed of any required course of action.

Satisfactory academic progress thus requires a level of performance in courses and rotations meeting all of the following criteria:

ⅰ) Attaining 20 credits of elective coursework with at least a "Pass" evaluation in all courses, at a rate sufficient to meet the cumulative credit requirements for graduation by thesis submission

ⅱ) completing all required rotations with at least a "Pass" evaluation

ⅲ) successfully completing all other curriculum mandatory requirements (submission of thesis proposal and Professional and Career Development I & II)

8.2 Progression to PhD Thesis Research

OIST graduate students will be eligible for PhD thesis research on submission of the thesis proposal and successfully passing the subsequent examination.

In submitting the thesis proposal for examination, students are required to have adequate fundamental knowledge in the field or fields of study relevant to the thesis topic, and to have the ability to organize, apply and convey that knowledge effectively.

The Dean of Graduate School, in confirming student's progression to thesis research, may require remedial action or further courses of study be undertaken. The student's Thesis Committee will be informed of any such requirement, and confirmation from the Thesis Committee that this is completed within a prescribed timeframe may be required.

In addition to thesis proposal examination results, a report may be made to the Curriculum and Examinations Committee of students who are yet to complete their elective credit requirement, but this does not preclude students from advancement to thesis research.

8.3 Monitoring of Academic Progress in Research

From the beginning of the student's second year of enrollment, the Thesis Supervisor takes primary responsibility for monitoring research progress of the student, assisted by the Thesis Committee. The Mentor will continue to advise and provide support, able to act in a confidential manner in case of difficulties between the student and the Thesis Supervisor.

Satisfactory progress in research is defined by the following criteria:

i) meeting relevant milestones in accordance with the student's Academic and Examination Timeline
ii) submission of a thesis proposal and passing the subsequent thesis proposal examination
iii) satisfactory Research Progress Reviews
iv) completion of the PhD thesis within five years of commencing the program
v) successful completion of Professional and Career Development II (undertaken concurrently with thesis research)

8.4 Research Progress Review

The Research Progress Review, completed by the mid-point of a student's academic year from year 3 of enrollment onward, serves to ensure faculty oversight of ongoing academic progress, and to provide opportunity for the student's Thesis Committee to identify difficulties that may have arisen during the student's research and provide assistance if necessary.

The Research Progress Review requires presentation of a Research Progress Report by the student to the Thesis Committee, with a subsequent discussion on the report and the presentation's contents. Thesis Committee members then submit individual reports to the Graduate School on the review, recommending that the review be considered satisfactory, and/or identifying any concerns they may have.

Ideally students will meet with the Thesis Committee as a whole, but in exceptional circumstances students may meet with members individually to accommodate one or another member's availability.

Satisfactory progress in research is defined by the following criteria:

ⅰ) meeting relevant milestones in accordance with the student's Academic and Examination Timeline
ⅱ) submission of a thesis proposal and passing the subsequent thesis proposal examination
ⅲ) satisfactory Research Progress Reports
ⅳ) completion of the PhD thesis within five years of commencing the program

In addition:

ⅴ) successful completion of Professional and Career Development II (undertaken concurrently with thesis research)

8.4.1 Research Progress Report

Research Progress Reports on the progress of the student's thesis research must first be submitted to the Graduate School, who will ensure all constituent elements are included and that the report meets the requirements of the Research Progress Review. On acceptance by the Graduate School, the report is forwarded to the student's Thesis Committee and students are asked to organize the required meeting with their Thesis Committee and provide a presentation on the report's contents.

A Research Progress Report should be 1–5 pages in length, and contain the following:

i) clarification or reiteration of research goals
ii) academic progress to-date (or since last report),
iii) if applicable, identification of unforeseen difficulties that have led to a change in research direction,
iv) if applicable, how the above difficulties have been overcome,
v) an up-to-date research timeline, including an explanation of how the research timeline has changed (and any requirement of extension), if applicable
vi) leave plans, and any possible effect on research progress

8.5 Unsatisfactory Academic Progress

Unsatisfactory academic progress may be defined as failure to meet any of the criteria listed above, notwithstanding legitimate and approved extension requests. The Dean of Graduate School may, as deemed necessary, refer any matter to the Curriculum and Examinations Committee for its assessment and recommendation of a course of action.

In the case of established unsatisfactory academic progress, the Dean of Graduate School, taking into account the recommendation of the Curriculum and Examinations Committee if deemed necessary, may decide on academic probation or discontinuation of enrollment.

8.6 Academic Probation

If a student is placed on academic probation, the Dean of Graduate School alerts the student and explains the conditions the student must meet for satisfactory academic progress. Likewise, the Dean's notice will stipulate any restrictions placed on the student for the duration of the academic probation.

The student's Thesis Committee will be informed of any required course of action, and may be required to report to the Graduate School on progress (through an RPR or otherwise). Academic probation may be lifted if the student is able to accommodate or complete any remedial course of action required by the Dean of Graduate School within a specified timeframe.

8.7 Discontinuation of Enrollment

Discontinuation may be applied if a student fails to make satisfactory academic progress.

In such cases the Dean of Graduate School may order the discontinuation of that student upon obtaining permission from the President, and with endorsement of the decision by the Curriculum and Examinations Committee.

8.8 Year 7 of Enrollment Onward (To 10 Year Limit of Enrollment)

With enrollment at OIST limited to ten years, by year seven of enrollment measures will be put in place to ensure students are able to submit their thesis, and successfully pass examination, without unnecessary delay.

Further oversight of a student's research progress will be expected from year seven of enrollment onward in the form of termly research progress reviews, rather than an annual review.

Before beginning their seventh (and eighth and ninth, if required) year(s) of enrollment, students will be required to submit to the Graduate School an updated completion plan endorsed by their Thesis Committee. The completion plan must include thesis submission by the end of the ninth year of enrollment at the absolute latest.

The Curriculum and Examinations Committee will be informed of all students who are in their seventh year of enrollment onwards, and the completion plan will be submitted for the Committee's perusal. The Curriculum and Examinations Committee may at their discretion call for further measures.

As one full year is required to ensure all permutations of the examination process may be accounted for, the student's tenth year of enrollment is dedicated entirely to the examination process, including requisite revisions. For this reason, if the student's thesis is not submitted by the end of year nine of enrollment, no extension of enrollment will be offered.

9. Cessation of Supervision Policy

In cases of documented and continued lack of academic progress, where demonstrable accommodation has been made by the supervisor to ensure the student has had reasonable opportunity to advance their research, and where a change of supervisor is unfeasible, supervisors (including co-supervisors, where applicable) may cease supervision of a research student.

Initiation of this policy by the supervisor requires approval of the Thesis Committee. When implemented, if the research remains viable, the student is required to submit a completion plan with expected completion within six months. The supervisor concurrently informs the Graduate School of the request.

On receipt, the supervisor meets with the Thesis Committee to discuss and adjust the completion plan. The Thesis Committee then meets with the student to

discuss any necessary changes and to make clear expectations of the student during the six months of the completion plan.

The Graduate School may be invited with the permission of all attendees to the above meeting but must be informed of the outcome.

The final completion plan begins with mutual understanding between the student and Thesis Committee of the outcome of the meeting and following electronic submission to the Graduate School of the completion plan by the Thesis Committee.

Funding is provided by the supervisor.　The possibility of further self-funded enrollment with access to the unit as a consequence of examination outcome is by negotiation between the student and the supervisor.

10.　Graduation

Conferment of Degree

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

Once the Faculty Assembly has approved the recommendation, the minutes of the Faculty Assembly hold a record of the names of the students, the date of conferment, and title of the thesis. The date of conferment shall be the last calendar day of the month in which the Faculty Assembly approved. The Individual Student Record shall be updated on the 1st of the following month (or the next business 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 other members of the Thesis Committee.

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

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

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

The student may request that the full text not be published, and instead only publish a summary of the contents of the thesis in lieu of the entire text of thesis when there is significant reason and with approval of the Supervisor. In this case, the University will make available for inspection the entire text of the thesis in response to a request, in hard copy and on University library premises. When necessary for intellectual property protection or other reasons, this inspection will be subject to a non-disclosure agreement. When the Dean of the Graduate School judges that the significant reason no longer exists, the entire text of thesis related to the conferment of the Doctoral degree shall be published through the medium specified by the university.

11. Textbook

The University recognizes that support for taught courses is an essential component of student success. Accordingly, the Library endeavors to make available both in

person and online copies of all books set as textbooks and reference books for courses.

Books designated as textbooks and reference books will be restricted from general loan during the teaching term of the associated course. One copy will be made available to students in a Reserve Collection, to be used on a temporary basis on request, in the Library only. Any additional copies may be loaned by students of that course on a monthly basis (the standard loan period), to permit use across the class.

Students are encouraged to purchase their own copies of textbooks as appropriate.

12. Computers

OIST PhD Students will be provided with a standard laptop computer adequate for their basic needs for communication, coursework and thesis writing during their time at OIST. Research Units are to provide for any additional computer needs as required for the students' research during lab rotations and/or their thesis research if students' supervisors deem it necessary. Use of the OIST IT issued computers must conform with OIST PRP Chapter 17 Information Technology and Security.

13. Teaching Spaces and Resources Management

Graduate School spaces and resources will be made available for use by the OIST Community for the purpose of teaching and learning in line with the OIST Teaching Labs Facility & Resource Use Policy.

Graduate School teaching spaces are intended to support teaching and learning at OIST. Priority is given to use in official Graduate School courses and other Graduate School sponsored trainings and events. When a space is not in use, it may be booked and used with prior approval of the Graduate School.

14. Graduation Ceremony

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

14.1 Academic Dress

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

15. Improvement of Education

15.1 Basic Policy of Faculty Development

The Graduate University must maintain and improve the quality of its Faculty in order to provide an outstanding education at OIST and to meet the different educational needs of each student. The Graduate School will play an active role in the development of faculty members by implementing programs for faculty development in teaching and supervision of graduate students.

15.2 Methods

Specifically, the Graduate University will conduct the following:

15.2.1 Teaching Guidelines

The Curriculum and Programs Section of the Graduate School will create, maintain, and distribute guidelines for quality teaching to ensure uniform best-practice teaching standards are observed at OIST.

15.2.2 Student Teaching Evaluations

Students will evaluate each course at the end of the course. The results of such evaluations will be distributed to the teacher, and will also be available to students. The student responses to a standard subset of questions will be reported to the Office of the Dean of the Graduate School. The Curriculum and Programs Section of the Graduate School will assist the teacher to respond appropriately to this feedback.

15.2.3 Peer Review of Teaching

Faculty members will support the development of their colleagues by participating from time to time as classroom observers, with the agreement of the teacher. The date of such observation will be reported to the Office of the Dean of the Graduate School, and the observer will discuss their observations with the teacher in a collegial and supportive manner.

15.2.4 Teacher Training

The Curriculum and Programs Section will arrange training sessions, and workshops for faculty development from suitably qualified facilitators, in order to enhance the teaching ability of OIST Faculty members.

15.2.5 Faculty Mentoring

A mentoring system will be established so that faculty with less experience in teaching and thesis supervision can meet with more experienced faculty to receive advice and support. As a part of this system the Thesis Committee supervising each student will include junior and senior faculty members to facilitate the transfer of skills relating to supervision of research.

The Curriculum and Programs Section will implement these methods to ensure the improvement of the education and research of the Graduate University.

Supplementary Provisions

This Academic Program Policies shall come into force from September 1, 2020.

Supplementary Provisions

This revised Academic Program Policies shall come into force from May 1, 2021.

Supplementary Provisions

This revised Academic Program Policies shall come into force from May 1, 2022.

Supplementary Provisions

This revised Academic Program Policies shall come into force from May 1, 2023.

Supplementary Provisions

This revised Academic Program Policies shall come into force from September 1, 2023.

Supplementary Provisions

This revised Academic Program Policies shall come into force from May 1, 2024.

Supplementary Provisions

This revised Academic Program Policies shall come into force from January 6, 2025.

Supplementary Provisions

This revised Academic Program Policies shall come into force from April 1, 2025.

Supplementary Provisions

This revised Academic Program Policies shall come into force from May 1, 2025.

Supplementary Provisions

This revised Academic Program Policies shall come into force from May 1, 2026.

Supplementary Provisions

This revised Academic Program Policies shall come into force from September 1, 2026.

Student Support Policies

1 Financial Support

The mission of the Graduate School of the OIST Graduate University is to provide first-class postgraduate education to the highest international standard. This requires attracting the best students in the world. Other leading international universities at this level provide support for tuition costs and living expenses. The OIST Graduate University offers financial support comparable to that offered by other leading research universities.

1.1 OIST Graduate University Research Assistantship and Senior Research Assistantship (Assistantships)

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

All students who receive these financial supports are required to submit a report monthly to the OIST Graduate School within 7 working days at the beginning of the following month.

The maximum tenure of a Research Assistant is normally two years or until Thesis Proposal completion and three years for a Senior Research Assistant. Students are expected to complete the requirements for graduation within the five-year period.

Continued financial support for students in the doctoral program depends on maintained performance in study and research, and is based on the provision of satisfactory annual Progress Reports. Assistantships will be discontinued in the event of unexcused absence, failure to maintain adequate academic performance, unethical behavior, or other reasons determined by the academic oversight process to be incompatible with good standing.

Assistantships are subject to annual confirmation of the Budget status and are paid in equal monthly installments paid on 17th of the month (or the closest preceding business day in cases when the 17th is a holiday). Remuneration of the OIST Graduate University Assistantships ranges from 2.5 to 3.6 million yen per year including the amount equivalent to tuition fee. However, if the Research Assistant is awarded for tuition waiver, the amount equivalent to tuition fee is not provided.

Detailed condition should be stated in an Agreement which is concluded with each student.

1.2 External Fellowships and Awards

While the University maintains financial support system, students are strongly encouraged to apply for external fellowships. Students must report external funds to the Graduate School.

In order to reward success, remuneration provided by the university as an OIST Graduate University Assistantships or Teaching Fellowship, may be held concurrently with external scholarship on this basis. If tuition fees are provided by an external fund, an amount equivalent to tuition fees may be payable to the student in the form of a research fund.

Detailed conditions are stated in the Agreement concluded with each student.

Externally funded students are also required to submit a report monthly to the OIST Graduate School within 7 working days at the beginning of the following month.

1.2.1 Teaching Fellowship

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

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

1.2.2 Tuition Waiver

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

1.3 Financial Support in Exceptional Circumstances

1.3.1 Students in OIST Early Program (also known as Gap Program)

The OIST Graduate School offers financial support and benefit package for students in the OIST Early Program. Details of the support provided are stipulated separately. Tuition is waived during the OIST Early Program. A report needs to be submitted monthly to the OIST Graduate School within 7 working days at the beginning of the following month.

1.3.2 Extension of OIST Financial Assistantship beyond Five Years

A student who continues to make satisfactory academic progress in the program should be on course to complete within five (5) years. Student progress is reviewed each year toward this goal.

Faculty and students should plan a research project, including submission of thesis, that can be concluded within three (3) years of the submission of their thesis proposal.

Only on grounds approved by the Dean of the Graduate School is Graduate School financial assistance available beyond five (5) years, for example, unavailability of examiners, departure of the supervisor, record of taking childbirth accommodation period during the OIST PhD program.

The student must inform the Graduate School when such events occur, and if necessary, apply for extension with a timeline of completion endorsed by the Mentor or the Thesis Committee. The Dean of the Graduate School will review each case and determine the period of extension and financial assistance at their discretion. Consideration is given to the period affected by the ground so that the student is not disadvantaged by such events/grounds in completing the PhD program.

Unit-funded financial assistance may be applied for on academic grounds, in exceptional circumstances outside of the control of the student (for example, the vicissitudes of science). To do so, students are first required to apply for an extension of enrollment from the Graduate School.

Applications are limited to a period of twelve (12) months only and must include a timeline of completion (achievable within the same period) endorsed by the student's Thesis Committee.

If the Graduate School approves extension of enrollment, financial assistance may be sought from the student's supervisor. Unit-funded financial assistance should not exceed that normally made available from the Graduate School, and the period of offer should not exceed the extension of enrollment.

Any further extension requires a further application of extension of enrollment to be made to the Graduate School.

1.3.3. Student Emergency Loan

In the event of a temporary shortage of living expenses or other unexpected circumstances, students experiencing short-term financial problems may apply for an OIST Student Emergency Loan. The Graduate School will assess applications against the policy and eligibility criteria stipulated in the Student Emergency Loan guidelines.

Student Emergency Loan Guidelines

1.4 Commuting Allowance

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

2 Travel Support

2.1 Travel Support for Educational Purposes

The Graduate School does not provide grants for home leave. However, the Graduate School provides travel support for visiting an educational institution. For details concerning visiting an educational institution, please refer to the OIST Guidelines for Student Travel.

OIST Guidelines for Student Travel

2.2 Travel Support to Attend Conferences

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

3 Relocation

3.1 Flight

The Graduate School subsidises one-way travel to Okinawa on one occasion only (for the purpose of initial relocation).

3.2 Transfer Allowance

Transfer Allowance can be provided stipulated in the table below:

Domestic	36,600 yen
International	62,800 yen

Family relocation allowance:

Spouse & Child 12 years of age or older = 2/3 Child under 12 years of age = 1/3

3.3 Relocation Expenses

Actual relocation expenses can be reimbursed up to the maximum level stipulated in the appended table. Reimbursement of relocation expenses can only be provided once.

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

4 Student Welfare

4.1 Assistance with Visa Requirements

The Graduate School provides assistance with student visas. Students must have completed visa requirements prior to registration. Students who do not have a valid student visa cannot be registered.

4.2 Student Health and Counselling

OIST provides campus health support services during working hours. If necessary, the Health Center refers students to local health services. Excellent hospitals and clinics are available in Okinawa, and assistance with English and other languages is available.

Counseling services are available as separately described.

4.3 Annual Health Check

Students are required to take an annual health check provided by OIST.

4.4 Insurance

4.4.1 Health Insurance

Subscription to National Health Insurance is a mandatory requirement, and the cost must be covered by students.

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

All students are covered by Gakkensai and Gakkenbai provided by Graduate School.

4.5 Childcare

Students needing childcare will be eligible to use on-campus early- childhood education facilities called the OIST Child Development Center.

4.6 Recreational, Cultural, and Social Activities

The Graduate School supports the welfare of students by organizing and facilitating recreational, cultural, and social activities.

5 Housing

Subsidized accommodation is provided for students living in the Campus Housing.

Rent, utilities (if applicable) and other necessary costs are deducted from Assistantships. Those who do not receive any financial support from OIST will be invoiced.

Those housing arrangements are handled by Housing Management Section of Buildings and Facilities Management Division. For further details, please refer to PRP Chapter 25.

Supplementary Provisions

This Student Support Policies shall come into force from September 1, 2020.

Supplementary Provisions

This revised Student Support Policies shall come into force from April 1, 2021.

Supplementary Provisions

This revised Student Support Policies shall come into force from May 1, 2022.

Supplementary Provisions

This revised Student Support Policies shall come into force from October 1, 2023.

Supplementary Provisions

This revised Student Support Policies shall come into force from April 1, 2024.

Supplementary Provisions

This revised Student Support Policies shall come into force from September 1, 2024.

Supplementary Provisions

This revised Student Support Policies shall come into force from April 1, 2025.

Leave Policy

1 Personal Time Off

In addition to University Holidays, students are granted twenty-five (25) days of Personal Time Off per academic year, accrued on a pro rata basis from the first day of enrollment. Maximum accrual of Personal Time Off is forty (40) days. No accrual will occur beyond forty days.

For the Graduate School to fulfil its duty of care, students are required to register any Personal Time Off to the Student Affairs Section of the Graduate School through the request form, including the reason for Personal Time Off and including endorsement from relevant faculty.

For students taking courses or lab rotations, it is highly recommended that Personal Time Off be taken in the designated break periods between terms unless permission has been given by the Course Provider or Lab Rotation Supervisor. This permission rests on the student meeting the requirements of the course or lab rotation in full, in the manner agreed to in consultation with the Course Provider or Lab Rotation Supervisor. Endorsement must be received from all affected faculty members.

For students engaged in thesis research work, endorsement of the Thesis Supervisor is required for Personal Time Off, which may be taken during term time.

Students should note that Personal Time Off is for the purpose of any personal reason to be away from their study and/or research.

1.1 Minimum period of Personal Time Off taken per year

Faculty are required to allow students a minimum period of five days per year of Personal Time Off per year of enrollment. Despite this minimum requirement, there is nevertheless an expectation that students be able to plan for (in consultation with faculty, be they Course Provider, Lab Rotation Supervisor, or Thesis Supervisor) and take their full Personal Time Off accumulation without needing to forfeit unused leave.

1.2 Unused Personal Time Off following departure from OIST

As Personal Time Off is accrued, any unused Personal Time Off to the date of departure from OIST will be paid to students (up to five [5] years of enrollment). Please note that payment will only be made to the bank account registered with the Graduate School at the date of departure.

1.3 Personal Time Off and Examinations

Following submission of the thesis proposal or thesis to the Graduate School, students should be aware that the thesis proposal or thesis will be forwarded to the examiners immediately, and as such the examination process has begun. Oral examination will only occur a minimum of eight weeks after submission (four weeks in the case of thesis proposal examinations).

Students may take Personal Time Off following submission but must be in Okinawa one week prior to and after the date of examination (to account for unforeseen rescheduling). An exception exists in the event of a "Defer" result during examination of the written thesis (the first stage of thesis defense examination). Where this result is received, the examination will immediately cease, and students will be expected to immediately return from Personal Time Off to complete the necessary revisions required for resubmission of the thesis for examination.

Students bear sole responsibility for any financial ramifications of their not being present on campus for their examination, or for any subsequent delays to examination or enrollment caused by Personal Time Off.

2 Non-study Leave

A student may request, or be required by OIST to take, Non-study Leave when best advised for documented personal or health reasons. Any request for Non-study Leave requires approval of a research completion plan by the existing members of the student's Thesis Committee incorporating the proposed period of leave. Non-study Leave must receive approval from the President following Article 26 of the OIST University Rules.

The purpose of Non-study Leave is to have time completely away from the students' academic responsibilities. While on Non-study Leave, students do not

have access to OIST resources (excluding email) and must return all OIST assets. Financial Assistantship is not available to students on Non-study Leave.

Under no circumstances shall Non-study Leave be approved on each occasion for more than one year, or cumulatively for a period of more than two years (the maximum available period of Non-study Leave).

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

A return from Non-study Leave must be initiated by the student by contacting the Graduate School at least one month prior to their return. Return from Non-study Leave requires approval of a research completion plan by existing members of the student's Thesis Committee. In the case of Non-study Leave taken for health reasons, the Graduate School may require approval of the OIST School Doctor prior to return. Requests for returning from Non-study Leave must receive approval from the President following Article 26 of the OIST University Rules.

3 External Internship Leave

During years 3 and above of enrolment students may, with the approval of their Thesis Committee, request leave from study to undertake an external internship.

The purpose of External Internship Leave is to have time away from academic responsibilities and focus on career prospects. While on External Internship Leave, students retain access to OIST resources, however, housing at the student rental rate may only be offered up to three calendar months in total. Financial Assistance is not available to students on External Internship Leave.

Under no circumstances shall External Internship Leave be granted on each occasion, or cumulatively, for more than six calendar months.

Any period of External Internship Leave granted shall result in the extension of the period of study by the period of absence. Note, however, that External Internship Leave will not be considered grounds for extension of enrolment beyond five years with financial assistance.

Supplementary Provisions

This Leave Policy shall come into force from September 1, 2020.

Supplementary Provisions

This revised Leave Policy shall come into force from May 1, 2021.

Supplementary Provisions

This revised Leave Policy shall come into force from May 1, 2022.

Supplementary Provisions

This revised Leave Policy shall come into force from September 1, 2023.

Supplementary Provisions

This revised Leave Policy shall come into force from May 1, 2024.

Supplementary Provisions

This revised Leave Policy shall come into force from September 1, 2024.

Supplementary Provisions

This revised Leave Policy shall come into force from April 1, 2025.

Supplementary Provisions

This revised Leave Policy shall come into force from September 1, 2026.

Childbirth Accommodation Policy for Students

The OIST Graduate University promotes diversity and supports balance in work and family life. The University recognizes the need to accommodate the demands on students associated with pregnancy and childbirth, and the care of a newborn child. The policy also recognizes the demands on partners who take significant responsibility in parenting, and supports those who become a parent by adopting, fostering, and delivery by surrogacy. This Childbirth Accommodation Policy for Students comprises a set of financial and academic measures designed to accommodate these needs, supporting family life during graduate studies.

The Childbirth Accommodation Policy establishes minimum standards for accommodation needed for a graduate student who becomes a parent of a newborn child. Careful consultation should be undertaken to ensure that the implications for academic progress, financial support, and visa status of international students have been thoroughly investigated. It is expected that faculty and the Graduate School administration will work with sensitivity and imagination to provide more than this minimum, to accommodate new family needs. It is the intention of this policy to reinforce the importance of that cooperation, and to provide support where needed to make that accommodation possible.

1 Eligibility

i) A full-time, registered OIST PhD student who is going to give birth or has recently given birth ("birth parent")

ii) A full-time, registered OIST PhD student with significant responsibility for the care of the newborn child; for example, the partner of the person giving birth; father of the newborn; or those who become a parent by adopting, fostering, or delivery by surrogacy ("non-birth parents")

2 Summary of Childbirth Accommodation (incorporating Childbirth Leave)

The Childbirth Accommodation Policy comprises a set of financial and academic measures, as follows. They are designed to make it possible for a parent of a

newborn to maintain a full-time, registered student status before and after childbirth, facilitate their return to full participation in class work and research in a seamless manner, and to ensure student parents are not disadvantaged in regard to graduation.

i) Academic accommodation of up to eight (8) consecutive months, known as the Childbirth Accommodation Period (CAP), around the time of the birth during which the student may request postponement of course assignments, examinations, and adjust other academic requirements;

ii) Continuation of full-time registration as a graduate student during CAP;

iii) Full financial support through CAP;

iv) Up to six (6) months of extension of enrollment and financial support;

v) Childbirth leave from regular duties during CAP, such as those stated in the research assistantship agreement, as follows;

Childbirth leave for birth parents	Prenatal leave: 6 weeks (14 weeks for multiple pregnancies) before the expected delivery date on request of a birth parent. When the actual delivery is after the expected delivery date, the additional days are included as part of prenatal leave. Postpartum leave: 8 weeks after giving birth. In this period, the University can not require birth parents to be engaged in their coursework and research. However, on their request, birth parents may return to their study 6 weeks after childbirth if approved by a doctor.
Childbirth leave for non-birth parents	Up to 8 consecutive weeks of leave around the childbirth

3 Residency Requirements during the Childbirth Accommodation Period

It is expected that students will be in residence in Okinawa and, assuming good health of the new parent and the infant, will remain engaged in class work and research, even if at a reduced level.

A student may choose to take leave from the academic program for a period of time. In such a case, a period of non-study leave may be granted in accordance with the non-study leave regulations.

4 Planning and Application for the Childbirth Accommodation Period

It is students' responsibility to make arrangements with faculty and with Graduate School administrators for course completion and for continuation of educational, research and professional development activities toward graduation. Faculty members may not discontinue thesis supervision on the basis of a student's decision to have a child.

i) Planning
Students should initiate discussions with their mentor, thesis committee, lab rotation supervisor(s), course instructor(s), the PCD coordinator, and the Graduate School at least four (4) months prior to the expected childbirth.

ii) Application
The student should apply to the Graduate School for Childbirth Accommodation Period at least four (4) months prior to the expected childbirth. The application must include a graduation plan endorsed by the mentor or the thesis committee.

iii) Acknowledgement
The Graduate School will notify the student, the student's academic mentor, and relevant University administration that the Childbirth Accommodation Period has been approved, along with the dates for the accommodation period. If childbirth occurs prior to filing the application, the accommodation period begins on the birth date.

iv) Further considerations

- Extension of enrolment and financial support
  Students may request an extension of enrolment and financial support for up to 6 months per childbirth accommodation period taken during the OIST PhD program.

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

- Considerations for birth parents
  Birth parents whose research involves working with toxic chemicals or fieldwork may need accommodation during the entire pregnancy and during lactation. They are strongly advised to consult with a doctor and discuss research plans with faculty if they need to refrain from using certain chemicals or engaging in fieldwork.

- Medical conditions during pregnancy and after childbirth
  If medical issues arise in association with pregnancy or childbirth, students must inform the Graduate School with a doctor's recommendation on accommodation suitable for the student's condition(s). The Graduate School shall discuss and facilitate reasonable accommodation for the student in consideration of the individual circumstances.

5 During and after the Childbirth Accommodation Period

i) Coursework and Research Activities during CAP

Any academic milestones affected by the above may be shifted through the submission of a formal extension request.

Students are expected to keep lines of communication open and demonstrate to their supervisor and instructors that they are academically engaged.

ii) Funding during CAP

The full amount of financial support is provided during CAP.

Students who are supported by external fellowships must adhere to the rules of the granting agency with respect to absences from study and research. If the granting agency requires suspension of fellowship benefits, the student will be eligible for substitute payment from OIST.

iii) Coursework and Research Activities after CAP

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

Supplementary Provisions

This Childbirth Accommodation Policy for Students shall come into force from September 1, 2020.

Supplementary Provisions

This revised Childbirth Accommodation Policy for Students shall come into force from May 1, 2021.

Respectful Workplace and Anti-Harassment Policies

Effective Date: September 1, 2020

The University is committed to creating and maintaining a safe and respectful environment in which all officers, employees, students, and visitors are treated with dignity and respect, in accordance with the Respectful Workplace Policy. The Respectful Workplace Policy is a core value of the University and the University will not tolerate disrespectful communication, discrimination, harassment, or bullying, in any form.

1.1. The University takes all harassment claims seriously and handles them in confidence. For allegations relating to violations of Respectful Workplace and Anti-Harassment policies, the University has a process for students. When a violation of the Respectful Workplace Policy or an act of harassment is reported, the University takes remedial measures and appropriate corrective actions.

1.2. If a student experiences or witnesses a violation of the Respectful Workplace Policy, or sexual, power, or other harassment, the student should consider taking action to inform the University of the situation by any of the following procedures.

1.3. To report such disputes or incidents of harassment, students should contact either the confidential external Respectful Workplace and Anti-Harassment hotline (RWAH hotline), designated contact staff in the Graduate School, or the Dean of the Graduate School (DGS).

1.4. For students who need advice and counseling, the Ganjuu Wellbeing Service is available to all OIST community members. The Ganjuu Wellbeing Service offers consultation, advice, and intervention in relation to a range of problems including harassment and other behaviors inconsistent with the OIST Respectful Workplace Policy.

1.5. Protection from Retaliation

The University will not tolerate retaliatory action against any student for making a good faith report of incidents of harassment based on the procedures in this chapter. Similarly, the University will not tolerate any direct or indirect use (or attempted use) of official authority or official influence for the purpose of interfering with the rights of a student making a protected disclosure.

2 Rules

All students of the University are eligible to seek both informal and formal resolution of violations of Respectful Workplace and Anti-Harassment Policies using the procedures set out in this Chapter.

A student who wishes to make a claim of harassment or violation of the Respectful Workplace Policy may seek informal resolution by consulting with the designated contact staff in the Graduate School (Student Early Intervention Coordinator) or contacting the confidential external RWAH hotline.

Alternatively, the student may seek a formal harassment resolution process by submitting a written claim of harassment or violation of the Respectful Workplace Policy to the Graduate School.

2.1 Consulting Designated Contact Staff in the Graduate School

A student (claimant) may consult with one of the designated contact staff in the Graduate School for an explanation of the process and for confidential support and advice.

Contact staff must arrange a meeting with the claimant within three working days of the request, or within one working day if the request is marked urgent. The meeting with the Graduate School contact staff must be logged by the designated contact staff. After understanding the situation, the designated contact staff will outline, or implement, some of the possible choices from among the following alternatives:

2.1.1 Monitoring and Review for Informal Resolution

The claimant may decide to register a claim with the Graduate School and seek an informal resolution. The designated contact staff is required to log the claim and then monitor and review. Informal resolution may involve consulting with, for example, the Academic Mentor, Thesis Supervisor, Thesis Committee, Chair of Faculty Assembly, the Provost, the Dean of Research, or the Dean of Faculty Affairs. In all cases the Graduate School will check back with the claimant to see if the issue is resolving satisfactorily. If it is not resolving satisfactorily, other options such as proceeding to a formal claim process will be suggested. Formal options may also be suggested in the first instance if appropriate.

2.2 Contacting the External Hotline

At any point in the process (including before deciding whether to file a claim with the Graduate School), every student is entitled to use the external RWAH hotline to consult with OIST-designated outside independent mediators.

2.3 Filing a Claim with the Graduate School for Formal Resolution

A student may seek a formal resolution by filing a written claim to the Graduate School. A student making a claim (claimant) may initiate a formal resolution process as a first option, or be advised to take this option by RWAH hotline. The designated contact staff in the Graduate School can assist in preparing the written statement; however, the document must be based on the claimant's statement.

2.3.1 The DGS must review the written statement, in consultation with the claimant, and determine the next steps according to the Policy and Rules. If the matters in the claim are matters that come under the Respectful Workplace Policy or Anti-Harassment and Anti Bullying Policy, the DGS initiates the next steps in this chapter. The claimant is consulted before any steps are taken, unless the Graduate School has a duty of care to take this further. This may happen, for example, if a criminal offense is alleged to have occurred. If the complaint concerns criminal behavior, any criminal investigation will take precedence over an OIST investigation or resolution processes. However, the Graduate School and Ganjuu Wellbeing Service can still be approached for support and advice.

2.3.2 Resolution by the Graduate School Harassment Investigative Committee

The DGS will establish and convene a Graduate School Harassment Investigative Committee (GSHIC) within 15 working days after receiving the written claim.

The GSHIC consists of 3 members, one of whom is designated as the chair by the DGS. In addition, a legal counsel appointed by the General Counsel joins the committee as an observer. A Graduate School staff member provides secretarial support.

The GSHIC conducts an impartial and confidential investigation/review to determine the facts and circumstances of the case, and make recommendations to resolve the matter. In principle, the GSHIC should prepare a written response to the DGS within

20 working days from the date the GSHIC first convenes. If additional time is needed, the DGS must be informed of the expected date of response.

A written response to the claim must be given to the claimant by the DGS within 10 working days from the date the GSHIC report is received by the DGS unless additional time is needed, in which case the claimant must be informed of the expected date of response. In some cases, the claimant may only be notified that the matter has been closed, without receiving any details of the outcome.

2.3.3 Executive Committee Level Harassment Dispute Resolution

A problem that has not been resolved at the GSHIC level may be brought to a Harassment Dispute Resolution Committee (HRC). The request must be submitted, in writing, by the claimant to the DGS. For details about HRC, see PRP 39.6.2.4.

2.4 Ganjuu Wellbeing Service and Student Peer Supporters

At any point in the process (including before deciding whether to contact the Graduate School) a student can contact the Ganjuu Wellbeing Service or the Student Peer Supporters for confidential support and advice.

2.5 Exclusions

Appeals related to academic matters such as grading or outcomes of examinations are handled separately by an appeals process. Cases where the main issue is academic, scientific, or research misconduct or non-compliance the DGS will refer the matter to the internal contact points stipulated in PRP 23.4.1.1.

If the matter involves a non-academic employee the matter will be referred to the Vice President for Human Resource (VPHR) and follow the procedures in PRP 39.6.2.3.

In the case of allegations made against the President, regardless of the nature of the allegations, the DGS will report directly to the Chair of the Board of Governors of the University. In the case of allegations made against a Member of the Executive including Deans, regardless of the nature of the allegations, the DGS will report directly to the President. In the case of allegations made against the DGS the matter will be referred to the VPHR and follow the procedures in PRP 39.6.2.3.

3 Responsibilities

3.1 Students

Students must attempt to solve disputes in accordance with the procedures provided in this chapter.

3.2 Dean of the Graduate School

The DGS must inform students about the availability of the RWAH hotline mediators and the formal and informal procedures in this chapter. The DGS is responsible for performing the tasks and duties outlined in this chapter.

3.3 Contact staff in the Graduate School

Contact staff in the Graduate School are responsible for performing the tasks and duties outlined for them in this chapter.

3.4 Mediators of the confidential external Respectful Workplace and Anti-Harassment hotline

RWAH hotline mediators are responsible for performing the tasks and duties outlined for them in this chapter. The duties of the mediators of the confidential external RWAH hotline are detailed in PRP 39.6.2.2.

3.5 The Dean of the Graduate School, the President, Graduate School Harassment Investigative Committee (GSHIC), Harassment Dispute Resolution Committee (HRC), or their Representatives

The DGS, the President, the GSHIC, the HRC or their designated representatives, are responsible for performing the tasks and duties outlined for them in this chapter.

4 Definitions

For definitions of sexual, power, or other harassment see PRP 39.9.

Regulations on Sanctions of Students

Article 1 Purpose

The purpose of these regulations is to provide for necessary matters concerning sanction of students based on the provision of Article 40 of the Okinawa Institute of Science and Technology Graduate University University Rules (hereinafter referred to as "University Rules").

Article 2 Student Code of Conduct

OIST commits to provide a safe and inclusive environment, and students are expected to act in a manner that does not directly affect others.

The OIST Student Code of Conduct:

i) Conduct oneself with integrity

ii) Develop and foster an ethos of collaboration, collegiality and inclusiveness

iii) Commit to excellence in research and education

iv) Work responsibly in the interests of society and scientific advancement

v) Prioritize health and safety

vi) Respect and abide by the law and University policies and regulations

vii) Serve as a positive exemplar of OIST at all times

Article 3 Student Conduct Policy

The following details OIST policy as it relates to student misconduct and non-compliance. This document supplements, and does not in any way supersede the **University Rules**. If any discrepancy is found between the two, the University Rules take precedent.

Article 3.1　Application and scope

i) The Student Conduct Policy applies to all students enrolled at OIST, including Special Students as defined in the OIST Policies, Rules and Procedures (PRP), irrespective of their place of residence or their mode of study, and includes all activities:

a. that occur on University grounds or facilities, or are facilitated by OIST services or infrastructure, including student or university clubs and societies

b. that occur outside University grounds or facilities in any form, but are endorsed, funded or organized by OIST or its associates (including internships, study leave, or placements)

c. that occur at conferences, both nationally or internationally, where OIST is represented in any form (including student or university clubs and societies)

d. that occur at OIST or OIST-affiliated housing or accommodation (including where OIST acts as guarantor), or where OIST has provided or arranged accommodation

e. that risk the reputation of the University.

ii) The Student Conduct Policy also applies to all students, irrespective of enrollment status, in cases where misconduct or non-compliance are discovered, reported or investigated following the student's departure from OIST

iii) The Student Conduct Policy applies irrespective of the form in which the misconduct or non-compliance takes place, be it in person, online, by proxy, etc.

iv) Policies and procedures related to student misconduct and non-compliance are applicable irrespective of the student's current enrollment status

Article 3.2　Confidentiality

All matters dealt with under this policy are treated with the strictest confidentiality. Information and records will be provided only to those directly involved.

Exceptions to the above may include:

i) Where there is reasonable belief that the matter involves substantial risk to the health and safety of an individual or to the public

ii) Where legal proceedings are involved, or OIST is required by law to cooperate and provide requisite information or records

iii) Where the matter is in the public interest, there is a contractual obligation, or a requirement under legislation to report

iv) Where OIST is obligated to report under the University Rules or a relevant section of the OIST Policy, Rules and Procedures (PRP)

v) To the extent allowed by OIST policy, matters related to misconduct or non-compliance may be referred to any other mediation services provided by OIST, including to other investigative processes provided by OIST.

Article 3.3　Authorized persons

Authorized persons are tasked with investigating circumstances surrounding misconduct and non-compliance, interviews, collection and evaluation of evidence, and recommendation of appropriate sanctions to the Dean of Graduate School and the President of OIST (hereinafter referred to as "the President").

When directed by the President,, Provost, Secretary-General,Vice-President or Deans (as defined under 2.4.1-2.4.5 of the PRP; hereinafter referred to as Senior Level Executive), authorized persons may also provide root cause analysis and recommendations on how to circumvent similar circumstances, misconduct or non-compliance in future.

"Authorized persons" are defined as:

i) a relevant OIST staff member familiar with a particular case

ii) a member of faculty

iii) an OIST legal representative (including relevant members of the General Counsel's Office or the OIST Executive)

iv) a member of OIST Human Resources

Senior Level Executive has the power to select authorized persons without conflict of interest in accordance with this policy.

Appointment of Investigation Committee members, as well as delegation of power to investigate matters related to the Student Conduct Policy, reside with the relevant member of Senior Level Executive. Responsibility for decision-making (excluding sanctions) is retained by relevant member of Senior Level Executive.

Article 3.4 Investigation Committee

When deemed necessary, an Investigation Committee will be appointed to investigate allegations of student misconduct or non-compliance.

Investigation Committees will be constituted of no less than three (3) authorized persons without conflict of interest. The background of authorized persons chosen to form an Investigation Committee will accord with the nature and severity of the misconduct or non-compliance.

The Chair of the Investigation Committee shall be decided by the relevant member of Senior Management and shall report directly to them.

During an investigation, where evidence of further misconduct is found, this shall be immediately reported to the relevant member of Senior Level Executive. When directed by the relevant member of Senior Level Executive or the President, an investigation committee may widen the scope of its investigation.

Results of any investigation conducted by the Investigation Committee will be reported to the relevant member of Senior Level Executive, the Dean of Graduate School and the President for further action as deemed appropriate. In conducting its duties, the Investigation Committee may:

i) Investigate any matter under this policy and may call upon any party affected by the conduct to discuss the matter

ii) Ask parties approached to provide a written statement describing the conduct in question, and its effect on them. If provided, collected statements may be used by the Committee, or other empowered bodies/parties, to aid in investigation of the allegations

iii) Provide statements to the student responsible for the alleged behavior so they may have the opportunity to respond to the allegations

iv) Investigate any allegation, irrespective of whether or not it has since been retracted

Article 3.5 Minimization of disadvantage

Every effort will be made to ensure no student will be unreasonably disadvantaged as a result of the application of the Student Conduct Policy or its procedures.

If deemed required or appropriate, accommodation will be provided to ensure all elements of the policy and its procedures are readily accessible to all parties, including in need the provision of interpreters/translators, for example.

Article 3.6 Student conduct as it relates to legal matters

Where student conduct may relate to legal matters, the General Counsel Office will be informed immediately.

Where alleged misconduct may involve criminal activity, OIST may:

i) Refer the matter to the relevant authority (the police, for example)

ii) Oversee an internal investigation in line with this policy and its procedures

OIST internal investigations shall not interfere with any investigation by relevant authorities. OIST may not tamper with or destroy evidence, nor witness statements.

Any conviction of criminal offence will be deemed an act of student misconduct and may be investigated by OIST.

Article 3.7 Responsible conduct of research

Student conduct of research, including ethics, compliance, and prevention of conflicts of interest are covered under **Chapter 4 of OIST PRP.**

Article 3.8 Inclusivity

Matters regarding gender, equity, diversity and inclusion are detailed in the University Code of Conduct under **Chapter 1 OIST PRP.**

Article 3.9　Student personal record

Allegations and convictions of student misconduct and non-compliance may be entered into the personal record of the student. Such records are maintained in the strictest confidence by the Graduate School.

Annual reporting to the OIST Executive of student misconduct and non-compliance may be required of Senior Level Executive. Such reporting may include the number, nature, and outcome of cases. Reporting is for the purpose of improving OIST practice, policy, and procedure.

Article 4　Student Conduct Rules and Procedures

Article 4.1　Definition of misconduct and non-compliance

OIST defines student misconduct and non-compliance as:

i) Conduct in contravention of, or outright breach, of relevant OIST policy, rules or procedures;

ii) Failure to comply with any reasonable direction of any OIST staff member or member of the OIST Community in a position of authority in relation to students;

iii) Failure to comply with, or meet, the prescribed elements and requirements of the OIST educational program;

iv) Unjustified acts or intentional omissions by the student which adversely affect OIST staff, students, or the OIST Community as a whole;

v) Any other acts that may be included as examples within the **Student Conduct Rules and Procedures**, regardless of whether they are included in the above.

Article 4.2　Examples of misconduct and non-compliance

i) Publishing of material, in any form, that is untrue or considered offensive, abusive, harassing, or vilifying about any member of the OIST Community, or about the University (including its programs, divisions or sections) in any form

ii) Activity that contravenes any University rule or regulation in a disruptive manner, including disruption of teaching or research; unseemly behavior; or indecent, threatening, discriminatory or abusive language, for example

iii) Engaging in behavior meant to deceive the University or its members, including making of false or misleading statements; or providing false documentation

iv) Behaving in a manner that is likely to bring the University or its members into disrepute

v) Obstructing OIST staff in their prescribed duties, including failure to comply with University program requirements and procedures, such as investigations

vi) Not adhering to University-mandated occupational health and safety guidelines

vii) Engaging in activities prohibited by Japanese law and regulations

viii) Intentional or negligent damage to person or property

Article 4.3　Examples of sanctions

i) Expulsion

ii) Suspension

iii) Reprimands

iv)_Warnings/Cautions

iv) Sanctions associated with the items listed in i) to iii) above.

a) Exclusion (from classes, research units, privileges; either temporarily or permanently)

b) Compensation

c) Suspension of research/financial assistantship (including reduction or termination of financial assistance)

d) Suspension of bench fees (from classes, research units, privileges – usually without compensation or recourse [regarding grades, for example])

e) Adjustment or substitution of grades

f) Preclusion of conferral/revocation of award of degree (recorded on transcript)

Article 4.4　Local Resolution

An Authorized Person may, when the nature of an allegation may be dealt with (when proven) in a manner that does not require any sanction, resolve the matter according to the following process:

i) **Within ten (10) business days of receipt of the formal allegation**, the Authorized Person will begin investigation of the allegation, including a discussion with the person submitting the allegation, speaking with any witnesses, and consulting with any other relevant parties

ii) Maintain records of the investigation and any relevant discussions

iii) Inform the student of the allegation, either in writing or in person, and provide a time limit for the student to respond

iv) Make a decision of whether the allegation will be upheld based on the Authorized Person's investigation

v) Determine a path of resolution, which may include, but is not limited to:

a. A decision that no further action be taken;

b. Direct the student to make a formal apology to the relevant party or parties;

c. Direct the student to cease the action/s referred to in the allegation;

d. Require a written undertaking from the student that the conduct that led to the allegation will not be repeated;

e. Continued or permanent exclusion, be it from a lab, unit, or facility;

f. Recommendation that the student seek counselling;

g. A written warning informing the student that any further misconduct or non-compliance will be escalated

An investigation may be delayed or suspended for reasons outside the Authorized Person's control. Under these circumstances, the student will be notified immediately.

Article 4.5 Exclusion

Anyone with responsibility for management of an OIST activity or facility has the authority to immediately exclude a student from said activity or facility if they have reasonable belief the student has committed, or is committing, an act of misconduct or non-compliance; including (but not limited to):

i) When there is a danger to health and safety

ii) The student's actions or activities are disruptive, to either the facility or others

Article 4.6 Period of Exclusion

The period of exclusion will be at the discretion of the responsible person and will take into account the severity of the misconduct or non-compliance and/or the appropriate time required to resolve the matter.

Article 4.7 Reporting of Exclusion

i) The person responsible for excluding the student must inform the Dean of Graduate School and their respective member of Senior Level Executive **in writing immediately** following the exclusion order. The name of the student must be provided, as must the reason for exclusion

ii) The respective member of Senior Level Executive will report any exclusion to the President of OIST. Any exclusion requires the approval of the President of OIST. Only when a person's health and safety are at immediate risk will approval be sought from the President retrospectively

iii) **Within one working day**, the person responsible for excluding the student must inform the student in writing of the reason for the exclusion order, and the proposed period of exclusion

iv) **Within one working day**, a detailed report must also be provided to the Dean of the Graduate School. This detailed report may be a copy of the notification provided to the student

v) The name of the student and the reason for their exclusion will be placed on the students' **Student Personal Record**

vi) The Dean of the **Graduate School** may at their discretion take further action

Article 4.8 Reporting Misconduct

i) Reports of student misconduct must be done in writing (to avoid any misrepresentation, and to avoid discrepancies in recollection by either the person making the allegation or the **Authorized Person** later responsible for acting on the matter)

ii) Reports may be made directly to the relevant member of Senior Level Executive, or through the Respectful Workplace and Anti-Harassment email address (rwah.gs@oist.jp)

iii) Where the **Authorized Person** receiving the report feels there is a conflict of interest in their involvement in the matter, or that they will be unable to act impartially, this will be reported; and the matter directed; to another authorized person

iv) **Authorized Persons** may, after requisite and sufficient investigation:

i. Seek a local resolution without escalation, in line with the Local Resolution process

ii. Refer the matter to an **Investigation Committee**

vi) The **Authorized Person** may, when there is reasonable belief the alleged misconduct is of such gravity as to be outside of their authority; and/or of a nature as to warrant escalation to a higher authority; they may do so

vii) Any immediate escalation of such an allegation will be done in writing, including the reason for the escalation

Article 4.9　Referral

At any time, an **Authorized Person or Investigation Committee, at the direction of, or with the permission of, the responsible member of Senior Level Executive**, may refer any matter before them to any other mediation services provided by OIST, including to other investigative processes provided by OIST.

Proper jurisdiction of the reported misconduct shall be jointly determined by the Chair of the Investigation Committee and the responsible person(s) of the mediation service or investigation process.

Article 4.10　Reporting of Result

Any recommendation of disciplinary action to be taken will be by the Dean of Graduate School will be reported to the President of OIST. Disciplinary action will only occur after consultation with, and with the approval of, the President of OIST.

Anonymized results of disciplinary action may be reported to the OIST Community with the permission of the President.

Supplementary Provisions

This Regulations on Sanctions of Students shall come into force from May 1, 2024.

Student Grievance Policy

Overview

OIST aims to deal with student complaints and grievances in a transparent and professional manner, and will at all times follow principles of procedural fairness.

The Student Grievance Policy delineates the formal process for students seeking to pursue a complaint or grievance about decisions or actions of OIST staff in matters related to academic progress, suspension or dismissal, administrative procedure and decisions, and provision of resources. The Student Grievance Policy provides timeframes for Graduate School response, and allows for appeal through the Graduate School General Appeals Procedure and external avenues of mediation.

Application and Scope

The Student Grievance Policy applies to all students enrolled at OIST, irrespective of their place of residence or their mode of study.

The Student Grievance Policy **does not** apply to students seeking to make a complaint against another student or group of students. Such matters must be addressed through the **Student Conduct Policy**.

Minimization of disadvantage

i) Every effort will be made to ensure no student will be disadvantaged as a result of the application of the Student Grievance Policy or its procedures

ii) If deemed required or appropriate, accommodation will be provided to ensure all elements of the policy and its procedures are readily accessible to all parties, including in need the provision of interpreters/translators, for example

Principles of Resolution

i) In addressing student complaints and grievances, as much as is possible and appropriate, the Graduate School prioritizes local, informal and early resolution

ii) All student complaints and grievances will be addressed in line with the General Appeals Procedure

Policy Obligations

i) All matters dealt with under this policy are treated with the strictest confidentiality Information and records will be provided only to those directly involved

ii) All parties will act in good faith; comply with University procedures, and not obstruct OIST Staff fulfilling their prescribed duties

i) All parties involved will immediately disclose any conflict of interest; either potential, perceived or existing

Dismissal of a Complaint or Grievance

Any complaint or grievance found after investigation to be groundless will be summarily dismissed.

Where a complaint or grievance is found to have been unreasonable, retributive, or malicious in intent, the allegation will be dismissed. In such cases the student who reported the complaint or grievance may be found to have committed an act of misconduct under the **Student Conduct Policy**.

Records of Students Complaints and Grievances

The Graduate School reserves the right to retain records, including the details of the matter, a record of the outcome, and the reason(s) for the outcome of the complaint or grievance.

Where deemed appropriate, records will be entered into the student's **Student Personal Record**. Such records are maintained in the strictest confidence by the Graduate School.

Annual reporting to the OIST Executive of student complaints and grievances may be required of the Dean of Graduate School. Such reporting may include the number, nature, and outcome of cases. Reporting is for the purpose of improving OIST practice, policy, and procedure.

Timeframes

Timeframe to resolution may be found in the General Appeals Procedure.

External Mediation

At any time, a student may refer any matter to any other mediation services provided by OIST, including to other investigative processes provided by OIST.

Supplementary Provisions

This Student Grievance Policy shall come into force from September 1, 2020.

Supplementary Provisions

This revised Student Grievance Policy shall come into force from May 1, 2022.

Student Responsibilities and Expectations

Overview

The following document applies to all students enrolled at OIST, and serves to clarify mutual expectations and responsibilities between the student and relevant parties at OIST in the interest of ensuring successful completion of the OIST educational program.

This document supplements, and does not in any way supersede, OIST's "Policies, Rules and Procedures (PRP)", for example, the **University Code of Conduct (PRP 1.4)** and the **OIST Gender Code of Conduct** within. If any discrepancy is found between the two, the OIST PRP takes precedent.

Faculty, in accepting students into their Research Unit, acknowledge that they have read and understood this document, and agree to abide by its contents.

Synopsis

i) **Students** enrolled at OIST will be members of a **Research Unit (RU)**, and in being accepted into an RU the **Thesis Supervisor (TS)** confirms the availability of facilities and resources for your proposed research

ii) Following progression to thesis research, the **TS** and **Thesis Committee (TC)** (the latter made up of your **TS**, your **Mentor**, and **Third Committee Member or Co-Supervisor**) are responsible for overseeing academic progress

iii) OIST degrees are overseen and awarded by the **Dean of Graduate School (DGS)**, and the **Graduate School** is responsible for ensuring students are complying with OIST education program requirements, including the meeting of academic milestones in a timely manner

iv) **Students** are to be proactive and act independently as required by their **TS**, while taking full advantage of the resources available to them; including supervision, facilities, resources, training and teaching, both at OIST and elsewhere

v) **Students** are responsible for the quality of their academic research, including compliance with relevant conventions as they pertain to their chosen field

vi) **Students** are expected to have submitted their thesis and have been examined by the end of their fifth year of enrollment

vii) **Students** are responsible for discussing any difficulties they may encounter with the relevant party, and without delay, to ensure every effort can be made to assist them in alleviating or overcoming the difficulty in question

viii) The **TS** and **TC** are required to report any concern they may have at any time regarding a **Student's** academic progress, while ensuring they are available to assist the **Student** in any reasonable manner

ix) The **DGS** may recommend to the **Curriculum and Examinations Committee (CEC)** a student's discontinuation from the program

x) The **DGS** is empowered to commence discontinuation of a student from the program

Students

i) **Students** are required to inform OIST of all contact detail changes, and to abide by University requirements and procedures for any change of situation (including withdrawal from their course or program)

ii) In enrolling as a student of OIST, **Students** agree to abide by all OIST rules, policies and regulations. It is their responsibility to be informed of the same, including through official email communications, and completing all relevant paperwork (electronic or otherwise) in a timely manner

iii) As a full-time Student, it is expected that **Students** dedicate at least 37.5 hours per week to their course/research for the duration of their enrollment, and that at all times they work responsibly toward the timely completion of their degree

iv) It is expected that **Students** will avail themselves of the full benefit of supervision, teaching and facilities available. **Students** are to be proactive and act independently as required by their **TS** in their study, and to take full advantage of resources available to students at OIST, including the library

v) **Students** will proactively learn the historical bases and background literature of their chosen field of research, and relevant methodologies

vi) **Students** are to develop and pursue a unique question/topic of research, achievable with primary supervision at OIST (or with resources available to OIST, including co-supervision in agreement with a partner institution), and contribute to the scholarly knowledge in their field, including as it applies to relevant problems/issues

vii) **Students** are expected to operate with the highest integrity and transparency in their research

viii) **Students** are to proactively develop their professional relationships, and to contribute to the scholarly discourse through publications, conference participation and presentation, and through other avenues

ix) **Students** are expected to meet with their **TS** regularly and keep them abreast of their progress. Any difficulties or delays are to be discussed with them immediately. Work should be submitted to the **TS** as requested for their assessment. Any problem in meeting with the **TS** on a regular basis should be discussed with the Graduate School

x) **Students** are to regularly communicate with and inform their **TS** and **TC** of any circumstance that may affect their academic progress or performance

xi) **Students** are to develop, and act within, an ethos of collaboration and collegiality in classrooms, research units, and as representatives of OIST

The Graduate School (GS)

i) The provision of OIST degrees is overseen by the **DGS**

ii) The role of the **DGS** is made clear at Orientation, and on the GS website

iii) The role of staff of the **GS** may be found on the Graduate School website

iv) The **GS** will ensure that students are provided with all pertinent information related to their study, including general information about Health and Safety

v) The **GS** will, as required, provide appropriate acculturation mechanisms to assist students adjust to life in OIST and Okinawa

vi) The **GS** will ensure an appropriate range of courses is available to all students so as to complement/facilitate their chosen field of research

vii) The **GS** will stipulate frequency of **Research Progress Reviews (RPR)**. This may vary in accordance with academic progress and advice received by the **DGS** regarding a student's academic performance

viii) The **GS** will ensure all Students in Research Units and Courses will have the opportunity to provide feedback on the administration, delivery and content of lab rotations and courses, and that this feedback is provided to **PI** and faculty presenting courses to ensure feedback can be properly incorporated. The **GS** will undertake periodic reviews of lab rotations and courses provided by OIST

ix) Staff of the **GS** act as sources of advice if a student is experiencing difficulty with their **TC**, or the academic program in general. If any such difficulty arises, you are strongly encouraged to raise your concern with the **GS** as soon as possible, as time has shown that the earlier a concern is raised, the better the chance that a suitable remedy may be found

x) The **GS** will facilitate, in accordance with **GS** policy, centrally administered student matters, including conference travel

xi) The **GS**, on behalf of OIST, will facilitate financial support, guaranteed up to five years, to assist students in their progress toward their degree

xii) The **GS** will provide a Professional and Career Development program, in collaboration with other relevant sections at OIST, to enhance the scholarly, professional and academic interests of OIST graduates

xiii) The **GS**, through its Professional and Career Development program, will provide a range of activities, including seminars, workshops, internships, conference presentations and guest lecture series

xiv) The **GS** will collect, collate and publicize comprehensive data on student retention, graduation rates, time to completion, and initial career progression

xv) The **GS** will conduct exit surveys in order to assess the performance, relevance and effectiveness of the OIST academic program, and to make adjustment to the same when required

xvi) The **GS** will develop and publicize policies, rules and regulations to address student and faculty concerns, ensuring avenues of address are available, that principles of fair and equitable practice and institutional standards are followed, and that ethical considerations are adhered to

Staff and faculty responsibilities and expectations as they relate to your study

xvii) This section covers the roles of those individuals and committees responsible for success as a Student

xviii) As OIST is a non-disciplinary university, students are not formally members of a department. Initially students study under the umbrella of the **GS**, and following progression to thesis research, students become members of their **RU**, supervised by the **TS**

xix) On **Student** admission to the **RU**, the **TS** confirms with the **DGS** that the resources and facilities required for the student's research are available

xx) The **DGS** is responsible for matters within the **RU** as they relate to the educational program at OIST

Mentor

i) A **Mentor** will be appointed to each student during enrollment. The Academic Mentor is not required to be in the student's exact area of research but should be conversant enough to provide appropriate advice in the development of student's academic curriculum, and further to provide additional (to that of the **TS**) research support throughout enrollment

ii) The **Mentor** is further required to ensure your academic welfare throughout student enrollment

iii) As a member of the **Thesis Committee**, the **Mentor** is required to endorse academic progress throughout enrollment

iv) In years one and two of enrollment, the **Mentor**, after meeting with the student, is required to submit an Academic Mentor Report to the Graduate School

Thesis Supervisor (TS)

i) The **Thesis Supervisor** must be a full-time member of OIST faculty and is principally responsible for guiding and assisting with thesis research

ii) Within sciences and technology, group research may be common in a particular **RU**, and a **TS** may work in conjunction with post-doctoral researchers on a regular basis. **TS** may delegate elements of routine student supervision as long as oversight of the project by the Thesis Supervisor is not eroded or undermined. It is expected that students and Thesis Supervisors meet on a regular basis, and at least once per month, through the attendance of supervisory team meetings or by any other such meeting

iii) In agreeing to act as **TS**, the supervisor has approved the research topic, availability of resources, the student's knowledge-base and the time constraints imposed by the OIST academic program

iv) The **TS** will be impartial, fair and professional in all dealings within the **RU**, commensurate with OIST policies and regulations as they pertain to harassment, confidentiality and nondiscrimination

v) The **TS** will develop and maintain an ethos of collegiality within the **RU**

vi) The **TS** will allow students to complete their education and research in a productive and timely manner and will not require students to undertake work that is not directly related to their thesis, that is outside the student's academic responsibility, or that impedes the student's timely completion of the OIST degree

vii) The **TS** will provide intellectual guidance, including the historical bases of the discipline, knowledge of the leading edge of the student's field, and opportunities to advance research

viii) The **TS** will respect student's research interests and goals and assist in achieving them

ix) The **TS** is responsible for monitoring student attendance, and subsequent reporting to the **GS** for administrative purposes

x) The **TS** will be respectful, compassionate, and reasonable in accommodating student requests for periods of absence from study

xi) The **TS** is responsible for ensuring that the Student is aware of requirements and conventions pertaining to the student's area of research, for example, nomenclature, integrity of data, analytical methodologies, etc. The Thesis Supervisor will further provide pertinent advice on relevant sources of information, how best to present research, and university best practice

xii) The **TS** is responsible for **RU** occupational health and safety matters, and for ensuring students are educated in relevant University policy on research ethics and other areas of ethics that may be more specific to your area of research; for example, University policy on the welfare of animals, or on working with human subjects

xiii) The **TS** is responsible for specialized occupational health and safety training as it relates to your field of research and the **RU**

xiv) The **TS** is expected to be familiar with this agreement, courses available to students, structure of the academic program, and be willing to undertake training as required by the **Dean of Faculty Affairs (DFA)**

xv) The **TS** will establish with the **Student** the most effective means of communication, including frequency of meetings, the form these take, what is required at each meeting, and who initiates the meeting

xvi) All students should have the opportunity to receive feedback from their **TS**, and **TS** likewise must have the opportunity to provide feedback

xvii) The **TS** should provide constructive feedback on draft chapters so that there is the opportunity to incorporate feedback in subsequent work undertaken. Given reasonable notice, the **TS** should respond promptly to requests to meet and provide feedback

xviii) If the **TS** is going to be absent from the University for an extended length of time, the **TS** and **Student** must organize a mutually agreed upon supervisory arrangement in accordance with OIST policy and academic program rules

xix) The **TS** is expected to advise on appropriate skills training and development, and financially support the same when unavailable from the **GS**

xx) In accordance with the Academic and Examinations Timeline, provided by the **GS**, the **TS** is required to ensure academic progress is consistent with the timeline, and to provide constructive and candid appraisals of student academic progress (see **Academic Research Progress Review**)

xxi) The **TS** is responsible for nominating examiners to the **CEC**

xxii) Where the result of an examination requires major revisions, or re-examination, the **TS** should agree to an immediate remedial form of supervision

xxiii) The **TS** is obligated to report to the **GS** immediately when there is, in the **TS**'s opinion, lack of academic progress, a likelihood that the student will fail examination, or academic misconduct of any form. Any such report may be reported to the **CEC** at its next meeting. The **CEC** and **DGS** deliberate on discontinuation of a student's enrollment. The final approval will be made by the President following Article 40 of the OIST University Rules. The **DGS** acts concurrently as Chair of the **CEC**

xxiv) The **TS** is expected to assist in applications made by the student, for example, in applications for external funding when not provided by the **GS**

xxv) The **TS** is expected to provide advice on publication of research and act as a reference in applications of any sort; and may be able to provide advice on opportunities in the student's research area

xxvi) The **TS** will encourage students when exploring career options and will provide relevant advice when able to do so

xxvii) The **TS** will provide opportunities and support in the development of presentation and teaching skills, grant-writing, networking with relevant professional contacts, applying for copyrights and patents, and in joining collaborative projects in accordance with accepted norms

Thesis Committee (TC)

xxviii) The **Mentor**, assigned to you at admission, is responsible for developing your initial curriculum, and is thereafter responsible for your academic welfare throughout your enrollment.

xxix) The **TC**, formed in the student's second year of enrollment and comprised of the **Mentor**, **TS**, and **Third Committee Member**, oversees the conduct of student research. Student's may, at your discretion, have an OIST **Co-supervisor** (in place of a **Third Committee Member**), or an **External Co-supervisor** (if applicable)

xxx) The **Third Committee Member,** in addition to duties normally conducted by the **TC**, acts as a mediator, when needed, to resolve disputes at a local level

xxxi) The **TC** is responsible for ensuring you are making satisfactory academic progress, conducting an **RPR** through years three to five of your enrolment

xxxii) In the case of any extension of due date or enrollment, your **TC** is required by the **DGS** to provide written support as documentary evidence is required to assess such requests

xxxiii) The **TC** is further responsible for the academic oversight of the student and the **TS**, and endorses your research proposal before examination.

xxxiv) The **TC** will work toward a collegiate learning environment, wherein faculty and students work together collaboratively and with mutual respect, and will provide appropriate levels of academic support to students

Curriculum and Examinations Committee (CEC)

xxxv) The **CEC** receives reports from the Graduate School on students' academic progress and decides on courses of action required of, or in regard to, students as needed

xxxvi) The **CEC** receives examiners' and chairs' recommendations on examination results, and as the sole body authorized by OIST to do so, decides on final examination outcomes, including re-examination and award of an MSc

xxxvii) The **CEC** approves courses available to students at OIST, including courses of independent study, and external courses for which students may receive credit toward their OIST degree

Work submitted for assessment and examination

xxxviii) The quality of work submitted for assessment and examination is entirely the **Student's** responsibility, including revisions required by Examiners. It is important to note that the assistance and support of the **TS** and **TC** provides no guarantee of success at examination. Furthermore, the lack of any report from the **TS** or **TC** raising concern about academic progress, despite endorsing research for examination, will not constitute grounds for complaint in the event of a failed examination

xxxix) **Students** are to make sure they are aware of academic milestone requirements as set by the **GS**, and to manage workloads, including submission of the thesis, so as to meet the due dates set.

xl) **Students** at OIST are expected to submit a written thesis, be examined, and graduate within five years. Funding is only guaranteed for this period of enrollment. Extensions beyond five years must be applied for in advance, require concrete documented supporting material in the application, and are approved, if warranted, only after considerable investigation. Funding beyond five years will be the responsibility of the **TS**, so students are required to

discuss financial assistance with the **TS** in in any discussion of extension of due dates or enrollment

xli) **Students** are expected to be familiar with, and to comply with, the conventions and requirements of their subject and field; including integrity in data collection and analysis, and acknowledgement of work completed by others. OIST reserves the right to submit student research and theses for plagiarism screening, and if detected, students may face disciplinary action

xlii) Thesis and thesis proposal drafts should be discussed with the **TS**, or in their absence (on reasonable grounds), the **Mentor**. All members of the **TC** are required to read and endorse the thesis proposal before progression to examination

xliii) Following examination, time allowed for requisite revisions will normally adhere to the recommendations of the Chair of the examination but will not normally exceed three months

Unsatisfactory academic progress and discharge from the OIST academic program

xliv) The **TS** and **TC** are required to report to the **Graduate School** any concern regarding unsatisfactory academic progress as soon as it arises. Students may be required to attend a meeting with the **GS**, the **TS**, or other members of the **TC**

xlv) Concerns will be raised with the student, and potential avenues of redress discussed. The meeting and any agreed plan of action will be recorded, with a copy provided to you. The consequences of failure to comply will also be made known to the student, ranging from a warning, or withdrawal of program benefits, to a report to the Curriculum and Examinations Committee recommending a finding of unsatisfactory academic progress and imposition of academic probation, which may ultimately lead to discontinuation from the OIST academic program

xlvi) If evident the student is impacted by extenuating circumstances, such as health-related difficulties or other personal concerns, the student may be referred to relevant resources, including the OIST Ganjuu Center

xlvii) Reasonable time will be allowed for the student to improve and return to study. Note, however, should requests of the **TC** not be complied with, or should academic progress remain unsatisfactory, the **GS** may, after meeting with the student to discuss the matter, recommend to the **CEC** that the student be discharged from the OIST academic program

xlviii) The **CEC** and the **DGS** deliberate on discontinuation of a student from the OIST academic program when:

a. The student has not progressed to the **TC** satisfaction;

b. The student has failed to comply with conditions previously set; or

c. The student is unlikely to reach the standard of the program in which they are enrolled

The final approval will be made by the President following Article 40 of the OIST University Rules

Examination

xlix) The **TS** will recommend external examiners for approval by the **CEC**. In the case of thesis proposal examinations, students will be examined by one **Internal Examiner**, and one **External Examiner**; the latter leading the examination as the expert in the research subject. In the case of thesis defense examinations, two External Examiners will be appointed

l) **External Examiners** are expected to be expert in one or more areas covered in the thesis or thesis proposal. External Examiners are not expected to be expert in the entire field covered by the thesis, but normally examiners' expertise will be complementary. Note that examiners make a recommendation only on examination result to the **CEC** and **DGS** (through the Chair of the examination). The CEC ultimately decides on the examination result after referring to the Chair's recommendation

li) The **Chair** of the examination is to facilitate and moderate the examination, ensuring the student has been treated fairly and given opportunity to defend their thesis or proposal, and respond to examiners' questions

lii) The **Chair** further makes a recommendation on examination result to the **CEC** and **DGS** after receiving and reviewing the examiners' recommendations. Note that the Chair does not have a deciding vote in the case of conflicting recommendations from the examiners. In the event of sizeable difference in examiners' recommendations, the **Chair** will advise and make a recommendation only to the **CEC**. Further information on the examination process may be found in "Procedure and Responsibilities of the Chair for Thesis Proposal Examinations" and "Procedure and Responsibilities of the Chair for Thesis Defense Examinations".

liii) Examination results are final, and examination results may be appealed only on procedural grounds

Complaints, problems and disputes

liv) When dealt with promptly by the appropriate University staff member or the **Academic Mentor**, most concerns can be dealt with efficiently and with a satisfactory outcome. There are also a number of other independent avenues of address (including the Ganjuu Center, for example). There is an expectation that students will first reasonably exhaust all avenues of early, local and informal intervention before proceeding to more formal avenues of redress (for example, the submission of a formal complaint). If unsure of whom to speak with, your Academic Mentor or the **GS Student Early Intervention Program Coordinator** should be consulted.

lv) Unfortunately, some circumstances will call for more formal resolution. In order to limit any disadvantage, and to provide effective redress, formal complaints should be initiated within twenty (20) business days of the matter in question. In matters pertaining to the Graduate School, the **Graduate School** General Appeals Procedure can be found on the Graduate School website.

Supplementary Provisions

This Student Responsibilities and Expectations shall come into force from September 1, 2020.

Supplementary Provisions

This revised Student Responsibilities and Expectations shall come into force from May 1, 2022.

Graduate School General Appeals Procedure(s)

Effective Date: September 1, 2020

Decisions of the Graduate School are made in the first instance by the relevant section Manager.

An appeal may be made of a Managerial decision if a student feels their concern has not been adequately or appropriately addressed, is not in accordance with OIST or Graduate School policy, or that not all relevant data had been considered.

Students may lodge an appeal of a decision with the Vice Dean of Graduate School within five (5) business days of notification of the decision. The appeal must be in writing and include a concise statement of the reasons for the appeal.

The Vice Dean will conduct an independent inquiry and may request further information at their discretion. Within five (5) business days of the date of appeal the Vice Dean will meet with the student for discussion. Students will be informed of the result of the appeal within ten (10) business days of this meeting.

Decisions of the Vice Dean of Graduate School may in turn be appealed to the Dean of Graduate School. An appeal may be made of the Vice-Dean's decision if a student feels their concern has not been adequately or appropriately addressed, is not in accordance with OIST or Graduate School policy, or that not all relevant data had been considered.

Appeals must be lodged within ten (10) business days of notification of the decision. Again, the appeal must be in writing, and include a concise statement of the reasons for the appeal.

The Dean will conduct an independent inquiry and may again request further information at their discretion. Within ten (10) business days of the date of appeal the Dean will meet with the student for discussion. Students will be informed of the result of the appeal within twenty (20) business days of this meeting.

Confidentiality must be and will be maintained throughout the entirety of the appeals process.

Appeal of course or lab rotation results

An appeal may be made of a course/lab rotation grade or assessment if a student feels the result unduly fails to reflect what the grade or assessment should be.

The student should initially discuss the matter directly with the Professor involved within five (5) business days of official posting of the result.

If the matter remains unresolved, students may lodge an appeal of a decision with the Vice Dean of Graduate School within five (5) business days of the above discussion. The appeal must be in writing and include a concise statement of the reasons for the appeal.

The Vice Dean will conduct an independent inquiry and may request further information at their discretion. Within five (5) business days of the date of appeal the Vice Dean will meet with the student for discussion. Students will be informed of the result of the appeal within ten (10) business days of this meeting.

Decisions of the Vice Dean of Graduate School may in turn be appealed to the Dean of Graduate School. An appeal may be made of the Vice-Dean's decision if a student feels their concern has not been adequately or appropriately addressed, is not in accordance with OIST or Graduate School policy, or that not all relevant data had been considered.

Appeals must be lodged within ten (10) business days of notification of the decision. Again, the appeal must be in writing, and include a concise statement of the reasons for the appeal.

The Dean will conduct an independent inquiry and may again request further information at their discretion. Within ten (10) business days of the date of appeal the Dean will meet with the student for discussion. Students will be informed of the result of the appeal within twenty (20) business days of this meeting.

Confidentiality must be and will be maintained throughout the entirety of the appeals process.

Appeal regarding examination process

A student who has failed an examination may lodge an appeal. Grounds for appeal include incorrect application of the procedures, but objections to the evaluations in the assessment by the examiners, the decision of the Curriculum and Examinations Committee, and the composition of the examining panel are not a basis for appeal.

The examination is a confidential process, and this confidentiality must be maintained throughout any appeals process. The appeal must be in writing, include a concise statement of the reasons for the appeal, and be lodged with the Manager, Academic Affairs, within five (5) business days of communication advising the outcome of the qualifying examination.

The appeal will be referred to the Provost, who will determine the course of action to be undertaken, taking into consideration the grounds for the appeal stated by the candidate. This may include a review of the examination process.

The Provost will determine the outcome of the appeal as either:

ⅰ. The procedures for the qualifying examination were applied correctly, and the appeal is unsuccessful.

ⅱ. The procedures for the qualifying examination were not applied correctly, but the variation in procedures did not influence the outcome of the examination, and the appeal is unsuccessful.

ⅲ. The procedures for the qualifying examination were not applied correctly, and the variation in procedures did influence the outcome of the examination, and the appeal is successful. In this case, the Provost will determine further action to be taken, which may include re-examination.

The outcome of the appeal will be determined within twenty (20) business days of the date the written appeal was received by the Office of the Provost.

Appeal of Dean of Graduate School decision

Under circumstances where the student feels the Graduate School, or Graduate School policy, has not adequately or appropriately addressed the appeal, students may, after availing themselves of the appeals procedure above, make a final appeal to the Provost. Any such appeal must be made within five (5) business days of being informed of the Dean's decision.

The Provost, after consultation with the Graduate School, may or may not, solely at his/her discretion, choose to independently investigate or review the appeal, including meeting with the appellant.

The Provost may request further information if required. Students will be informed of the Provost's decision within twenty (20) business days of receipt of the appeal request.

When an appeal is successful, the Provost will recommend the course of action to be undertaken.

The result of an appeal to the Provost is final.

Graduate_School_General_Appeals_Procedure(s)_20200901

Visiting Student Policies

1 Special Research Students

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

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

Faculty members of the OIST Graduate School can provide supervision to Special Research Students of the partner institution under the terms of an agreement with the partner institution. The period for which a student can receive research guidance as a Special Research Student must be stipulated in the agreement. When

it is necessary to renew the period of study, approval must be obtained from the Dean of the Graduate School and the Provost.

Special Research Students can take OIST courses as Course Auditors or receive credits at their home University for completion of courses at OIST as Credit Seeking Students.

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

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

1.1 Students of Newly-hired Faculty

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

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

1.2 Procedures for Special Research Students

Special Research Students must be formally accepted and registered as Visiting Students at the OIST Graduate University in accordance with Article 43 of the University Regulations. The Graduate School must be notified of the intention to host the student by the Professor of the Research Unit in a timely manner (at least 6 months prior to the expected start date).

The procedure for acceptance and registration requires the student to submit the documents listed below:

i) Application for admission as a Special Research Student (using the appropriate Form)

ii) Recommendation letter from thesis supervisor in the partner institution

iii) Brief outline of arrangements and plan of research at OIST from the OIST supervisor

iv) Copy of transcript of the current degree at the home institution

v) Brief Curriculum Vitae of the applicant

vi) Digital image of student's photograph (on a white background) and a scan of the information page of the passport if a visa is required

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

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

If a Special Research Students is elected by OIST as a Graduate Student Research Assistant, the level of financial support and conditions of appointment are stipulated

in the SRS Research Assistantship Agreement prepared by Faculty Affairs Office. If the Special Research Student is not receiving this financial support, the conditions of appointment will be stipulated in an offer letter that will constitute the agreement between OIST and the Special Research Student after it is signed by both parties.

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

1.3 Financial Support for Special Research Students

In some circumstances, financial support for Special Research Students may be available from the host research unit, in which case financial support for Special Research Students, including SRS Research Assistantship and other benefits, should be included in the budget of the host research unit. Students seeking such support must organize this with the Professor of the host research unit in advance.

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

1.3.1 SRS Research Assistantship

An SRS Research Assistantship is an appointment provided to a Special Research Student in good standing who performs research or who assists others performing research and educational activities.

Tenure of an SRS Research Assistantship is for one year, or until the date of degree conferral (whichever period is the shorter). Special Research Students who receive this financial support from OIST are required to submit a report monthly to the OIST Graduate School within 7 working days at the beginning of the following month. Continued financial support depends on maintained performance in study and research with an official request from the host research Unit. SRS Research

Assistantships will be discontinued in the event of unexcused absence, failure to maintain adequate academic performance, unethical behavior, or other reasons determined by the academic oversight process to be incompatible with good standing.

1.3.2 Commuting

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

1.4 Business Travel

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

1.5 Relocation

1.5.1 Transfer Allowance

Transfer Allowance can be Provided Stipulated in the Table Below:

Domestic	36,600 yen
International	62,800 yen

Family relocation allowance:

Spouse & Child 12 years of age or older = 2/3 Child under 12 years of age = 1/3

1.5.2 Relocation Expenses

Special Research Students normally receive support for round trip travel (or two one-way tickets) and no relocation expenses. However, a Special Research Student may alternatively choose to receive a one-way ticket and actual relocation expenses, which can be reimbursed up to the maximum level stipulated in the appended table.

Reimbursement of relocation expenses can only be provided once.

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

1.6 Welfare

Special Research Students enjoy the same privileges as PhD Students. Further details can be found in "4 Student Welfare" in the Student Support Policies.

1.7 Housing

Special Research Students enjoy the same privileges as PhD Students. Further details can be found in "5 Housing" in the Student Support Policies.

1.8 Leave

Special Research Students enjoy the same privileges as PhD Students. Further details can be found in “Personal Time Off” in the Leave Policy.

2 Research Interns

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

The Graduate School administers a limited number of Research Intern positions as part of its student recruitment and outreach program. Research Interns may also be supported by Research Units with approval of the Dean of the Graduate School, provided this poses no obstacles to the education and research activities of OIST.

2.1 Eligibility

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

2.2 Capacity

In keeping with OIST’s principle of maintaining a low student to faculty ratio, to ensure the primary focus of OIST faculty is on accepting PhD candidates into units, and to guarantee supervision by, and access to, faculty by all students within research units, faculty may only accept up to four (4) research interns at any one time. This limit may only be exceeded in cases where Senior Staff Scientists, Staff Scientists, and Postdoctoral Scholars (only) are available to supervise these interns, and then only on a one-to-one basis. Any plans to further exceed this limit will have to be explicitly approved by the Dean of the Graduate School upon submission of documentation showing supervision capability available locally in the unit.

2.3 Application

2.3.1 Application Fee

An application fee shall be charged for applications to the Research Internship Program.

The amount of the application fee shall be published on the OIST Admissions website.

2.3.2 Graduate School funded Internships

Places for Graduate School funded Research Interns are awarded twice a year on a competitive basis. Applications must be made using the online application form in accordance with the procedures and deadlines that are posted on the OIST website. Sufficient time must be allowed for the issue of a visa and other necessary Japanese government documentation.

Selection depends on suitability of the intended research, the student's academic background, and available funding and space. Professors accepting students under these programs will review the student' s qualifications, research capabilities, and academic training in a comprehensive manner.

Graduate School funded internships must start and end within the designated application round (October to March; or April to September). Successful applicants may request to change their internship start date within the application round (on one occasion only).

2.3.3 Unit funded Internships

Places for Unit funded Research Interns are awarded on a competitive basis. Applications must be directly submitted to professors.

Selection depends on suitability of the intended research, the student's academic background, and available funding and space. Professors accepting students in their

research unit will review the student's qualifications, research capabilities, and academic training in a comprehensive manner.

2.4 Duration

The tenure of Research Intern placement is normally less than 6 months. Under no circumstances may Research Internship be extended more than 1 year.

2.5 Working Days and Hours

Working days are from Monday to Friday, excluding University Holidays. Working hours are from 9:00am to 5:30pm.

2.6 Financial Support

OIST expects that Research Interns are independently funded. If necessary, Graduate School or the host Unit may support the Research Intern with travel, accommodation, and a per diem payment, in accordance with OIST PRP Chapter 29. Research Interns who reside in Okinawa but outside OIST receive an Internship Allowance on a workday basis instead of a per diem payment.

There is an obligation on the Research Intern to report other sources of financial support to the Student Affairs Section before their arrival. The amount of financial support will be taken into account in determining the level of the financial support provided by OIST.

2.7 Leave

Research Interns may take unpaid leave during the internship provided. Leave must be approved by the supervisor and Research Interns must submit a leave notice through the website. Leave should not in any way hinder research activities. Cost of

the travel support from OIST may be changed according to the length of the leave took by the Research Intern. Please refer to OIST PRP Chapter 29 and "6.1 Combination with Personal Travel" in Travel Expense Handbook, which applies to Research Interns.

2.8 Travel

OIST will pay for one direct round-trip travel for Research Interns between the home university or institution and the Research Unit or other facility where the internship will take place (usually Okinawa). In principle, the arrival date of the Research Intern's must be set one day prior to the internship start date, and vice versa, the departure date from the venue must be set next day of the internship ending date. Stopovers at any city during transit and open-jaw tickets are not permitted in principle. A stopover refers to staying for 24 hours or more at a reasonable transfer point on the way to a destination. An open-jaw ticket is an airline return ticket where the destination and/or the origin are not the same in both directions. Please refer to Chapter 29.

2.9 Other Support

Graduate School or the host Unit will provide support for Research Interns at OIST with matters such as housing, visa acquisition, insurance during their research activities, and local registration. OIST regrets that support for dependents, family members, and persons other than the student is not available. Confirmation of sufficient and appropriate insurance coverage for travel and activities is necessary.

3 Visiting Research Students

Visiting Research Students are registered students of another institution who wish to undertake a period of research at OIST under the supervision of an OIST faculty member as part of a recognized collaborative research project or some other defined research project.

3.1 Eligibility

This category provides for students enrolled for higher degrees at other institutions and engaged in research activity who wish to come to OIST to engage in a recognized collaborative research project, or some other defined research project.

This research project must be covered by a Visiting Research Student Agreement, completed before the start of the research period. Applications to host a Visiting Research Student are approved by the Dean of the Graduate School, provided this poses no obstacles to the education and research activities of the Graduate School.

3.2 Procedure for Visiting Research Students

Visiting Research Students must be formally accepted and registered as Visiting Students at the OIST Graduate University in accordance with the University Regulations. The Graduate School must be notified of the intention to host the student by the Professor of the Research Unit in a timely manner. The procedure for acceptance and registration requires the student to submit the documents listed below:

i) Application for admission as a Visiting Research Student (using the appropriate Form)

ii) Visiting Research Student Agreement

iii) Brief outline of arrangements and plan of research at OIST from the OIST supervisor (attachment 1 for Visiting Research Student Agreement)

iv) Brief Curriculum Vitae of the applicant

v) Digital Image of student's photograph

vi) Copy of Student ID Card at home institution

3.3 Duration

The maximum tenure of a Visiting Research Student is one (1) calendar year. When it is necessary to renew the period of study, approval must be obtained from the Dean of the Graduate School.

3.4 Financial Support

Visiting Research students who are part of a collaborative research project in general bring their own funding. If necessary, the host unit may support the Visiting Research Student with travel, accommodation and a per diem payment, in accordance with OIST PRP Chapter 29. Visiting Research Students who reside in Okinawa but outside of OIST receive an Internship Allowance on a workday basis instead of a per diem payment.

4 Credit Seeking Students

Credit Seeking Students are registered students of another university who wish to take one or more courses offered by the OIST Graduate School for credit at their home university. With the prior permission of the Dean, who will take into account such factors as class size, such a student may enroll as a Credit Seeking Student. Applications for admission as a Credit Seeking Student must be received one month before the start of the course, using the appropriate form. Credit cannot be awarded to course auditors who are not formally enrolled as Credit Seeking Students.

Registered graduate or undergraduate students of another university who seek credit for attending OIST International Workshops and Courses may enroll in approved courses as Credit Seeking Students. Admission of Credit Seeking Students to OIST International Workshops and Courses is decided by the course organizers. The process for approval of International Workshops and Courses for course credits is stipulated in Section 12 of Academic Program Policies.

Research Interns who intend to apply for admission to the OIST graduate program, or who have been admitted but wish to start early, may enroll for courses and

receive credit at the OIST graduate university as Credit Seeking Students. The Graduate School will provide, on request, an individual student transcript of courses completed.

5 Course Auditors

Members of the OIST community (including faculty, researchers, OIST students and special research students, research interns, administrative staff, and family members) may apply to become Course Auditors of specific courses. A formal request must be made to the Graduate School for permission to attend classes. Where the presence of Course Auditors or their different level of background knowledge would impact on the quality of teaching of regular students, the Graduate School reserves the right to decline such requests. The Professor in charge of a course has the final word on accepting Course Auditors and the behavior expected of them. An Auditing Student may attend and participate in all activities as if they were enrolled, but no credit or recognition for courses attended will be given. Course Auditors are required to attend regularly so as not to disturb class numbers and class activities.

6 Junior Research Fellows

Junior Research Fellows are former OIST PhD whose thesis supervisor requests a continuation of their research project after the degree conferral at OIST.

The duration is up to a maximum of 3 months. Under no conditions can this be extended beyond 3 months by the use of subsidy funding or external grants. A concrete research plan approved by their thesis supervisor and the Dean of the Graduate School is required.

Financial support for Junior Research Fellows, including fellowship and other benefits, should be included in the budget of the Office of the Provost. Students seeking such support must organize this with their thesis supervisor in advance.

6.1 Procedures for Junior Research Fellows

Junior Research Fellows must follow necessary procedures to be formally registered at OIST. The Graduate School must be notified of the intention to host the student by their thesis supervisor (preferably 3 months prior to the expected start date and at least 1 month prior to the start date). Detailed flow and required documents are given on the Graduate School website.

6.2 Financial Support for Junior Research Fellows

The fellow must declare any external financial support from funding agency, and this will be taken into account in determining the recommended level of financial support and benefits at OIST.

The level of financial support and conditions are stipulated in the Junior Research Fellowship Agreement prepared by the Student Affairs Section.

With approval of the Provost and thesis supervisor, the following benefits and allowances are available for Junior Research Fellows in accordance with the Graduate School's guidance.

6.2.1 Junior Research Fellowship

A Junior Research Fellowship is an appointment provided to a Junior Research Fellow whose thesis supervisor acknowledges the necessity to continue their time for completion of matters required for conclusion of the research project after degree conferral for up to 3 months. Detailed conditions are stated in the Agreement concluded with each student.

All Junior Research Fellows are required to submit a report monthly within 7 working days at the beginning of the following month.

6.2.2 Commuting Allowance

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

6.3 Business Travel

Approved business travel for work may be undertaken in accordance with OIST PRP Chapter 29. For the purpose of business travel, Junior Research Fellows are considered as Category Group 5. Support for such travel must come from the host Research Unit.

6.4 Welfare

Junior Research Fellows enjoy the same privileges as PhD Students. Further details can be found in "4 Student Welfare" in the Student Support Policies.

6.5 Housing

The housing rules for PhD students are applied to Junior Research Fellows. Rent, Utilities (if applicable) and other necessary costs will be deducted from the Junior Research Fellowship. Those who do not have a Junior Research Fellowship will be billed.

6.6 Leave

Personal Time Off is available only to Junior Research Fellows who receive financial support from outside of OIST. Junior Research Fellows who receive only OIST financial support are ineligible for Personal Time Off, either paid or unpaid.

Supplementary Provisions

This Special Students Policies shall come into force from September 1, 2020.

Supplementary Provisions

This revised Special Students Policies shall come into force from May 1, 2021.

Supplementary Provisions

This revised Special Students Policies shall come into force from May 1, 2022.

Supplementary Provisions

This revised Special Students Policies shall come into force from June 1, 2023.

Supplementary Provisions

This revised Special Students Policies shall come into force from September 1, 2023.

Supplementary Provisions

This revised Special Students Policies shall come into force from April 1, 2024.

Supplementary Provisions

This revised Special Students Policies shall come into force from May 1, 2024.

Supplementary Provisions

This revised Special Students Policies shall come into force from October 1, 2024.

Supplementary Provisions

This revised Special Students Policies shall come into force from December 1, 2024.

Supplementary Provisions

This revised Special Students Policies shall come into force from March 18, 2025.

Supplementary Provisions

This revised Special Students Policies shall come into force from May 1, 2026.

Supplementary Provisions

This revised Visiting Students Policies shall come into force from August 1, 2026.

Alumni Policy

1 Alumni

Alumni are OIST graduates who have satisfied all academic requirements and successfully obtained their degree. The OIST Alumni will have a life-long relationship with OIST and will also be eligible to participate in a range of special activities and events offered by OIST.

1.1 Exit Procedure and Alumni Email Account

Around the time of PhD conferral, alumni will meet with Graduate School members as a part of their exit procedure, and will be asked to submit an Alumni Registration Form. The Graduate School will then coordinate with the IT Division who will provide an OIST alumni email account.

Supplementary Provisions

This Alumni Policy shall come into force from May 1, 2021.

Policy on Remote Education for PhD Students

Effective Date: February 14, 2022

1.Preface

a. OIST Graduate School regards pursuing PhD education (coursework, rotation research, and thesis research) on campus is the default expectation for students. Doing this remotely (remote education) is an exception. The student, therefore, must present well-justified reasons and continuation plan as outlined below.
b. This policy does not apply to laboratory research activities. These need to occur in designated areas on campus.
c. Student must be available for continuous communication with the supervisor, other lab members, and Graduate School during remote education.
d. If the student remains unresponsive to any of the above parties for more than one week, their eligibility for remote education is revoked.
e. The remote education has to be entirely for thesis research.
f. The remote education arrangement can be terminated at the Supervisor's discretion.
g. Graduate School will also request the student under remote education to come to campus in person for administrative needs.

2.Eligibility

a. Student has passed the Thesis Proposal Examination. Two exceptions to this are granted:
    i. Those first-year students who have not been able to relocate to Okinawa due to Japanese border restrictions
    ii. Those pursuing education away from Okinawa as part of either officially approved External Study and Research or OIST-sponsored programs such as OIST-Riken partnership.

b. Student has completed all course work that requires them to be on campus continuously
c. Student is responsible for having reliable internet at the remote education site
d. Student must be physically residing in Okinawa unless unable to return to Okinawa due to an unexpected change in Japanese international and domestic border travel restrictions.
e. Student must undergo a brief training on remote education before starting.

3.Remote Education Request and Approval

a. Student must submit the request for remote education including; (i) justification; (ii) a research plan; (iii) projected % remote and % onsite time; (iv) expected outcomes.
b. A new request must be submitted every month and approved by the supervisor.

4.Student Housing

a. The student must comply with all OIST housing regulations during remote education.

Policy on Use of Generative AI Tools for Education and Learning

OIST recognizes the recent rapid introduction of a range of generative AI tools that can benefit Students and Staff and encourages their adoption and appropriate use in OIST with due attention to ethics, and security and risk arising thereof. The integration of such AI technologies has the potential to significantly enhance productivity and outcomes as well as risk in academia. This policy provides a framework for the adoption of AI tools in the OIST Graduate School, promoting the ethical and appropriate use of AI technologies in scientific research, education, and writing. By adhering to this policy, Students and Staff can harness the potential of

generative AI tools while upholding academic integrity and ensuring the responsible and inclusive advancement of knowledge.

Ethical Use of AI Tools:

1. All use of generative AI tools in the OIST graduate school should adhere to ethical standards of fairness, transparency, and accountability. The tools should be evaluated for potential biases, risks, and unintended consequences before their adoption.
2. Faculty and students must be aware of the limitations of generative AI tools and exercise critical judgment about their credibility when using them. Human expertise and oversight should remain an integral part of the research and education process. Generative AI tools may generate inappropriate or inaccurate output, and it is the user's responsibility to check output for accuracy and appropriate language.
3. Use of generative AI output without attribution is unethical and constitutes plagiarism.

Data Privacy and Security:

1. All use of generative AI tools in the OIST graduate school must adhere to strict data privacy and security measures. Personally identifiable information and sensitive data including research findings not yet published should be handled with utmost care and in compliance with relevant laws and OIST regulations. It is better to avoid all use of personal and research output as AI prompts, as there is no certainty that these data will not be accessible to others.
2. The OIST Graduate School will provide training and resources to educate faculty, staff, and students about data privacy and security best practices when using AI tools.
3. The OIST IT department has assessed ChatGPT as not posing a security risk (February 2023) but users should nonetheless use appropriate caution and refrain from sharing sensitive text and images in any generative AI system.

Academic Integrity:

1. AI tools should complement and enhance the learning, research and writing process rather than replace critical thinking and academic rigor. Plagiarism, data manipulation, and any form of academic misconduct remain strictly prohibited.
2. Faculty should educate students about the use of appropriate AI tools in their courses and laboratories, and promote a culture of integrity and responsible scholarship.
3. Students and staff who use AI tools for writing assignments, articles, presentations, and other public communications, should identify the tools that were used, and in cases of generative AI, should also record the prompts and source materials used for the output.

Legal Considerations:

1. Most AI tools are provided by private companies that are opaque in their use and security of training and prompt materials. All care should be taken to protect private and confidential information, including personal and intellectual assets.
2. The MEXT issued Guidelines on use of AI in July 2023, allowing the use of generative AI tools with appropriate education and with considerations of ethics and plagiarism. Passing off AI-assisted work as one's own would be regarded as cheating. Students should avoid entering any personal information and prevent copyright infringements.

Laws and regulations associated include:

- Act on the Protection of Personal Information
- Copyright Act
- OIST PRP11 Rules for Personal Information Protection

Supplementary Provisions

This Policy on Use of Generative AI Tools for Education and Learning shall come into force from October 1, 2023.