

Okinawa Institute of Science and Technology  
Graduate University

FY2018 Institutional Evaluation and Accreditation  
Evaluation Report

January 2019

Japan Institution for Higher Education Evaluation  
(JIHEE)

## **Okinawa Institute of Science and Technology Graduate University**

### **I Evaluation and Accreditation Results**

#### **[Judgment]**

JIHEE certifies that OIST conforms to the JIHEE evaluation standards.

### **II Summary of Evaluation**

#### **Standard 1 : Mission and Goals, etc.**

The mission and goals and the educational purpose are briefly summarized in the Okinawa Institute of Science and Technology School Corporation Act (the OIST Act) and the University Rules. For responding to changes, the Graduate University takes corrective and improvement measures to properly meet domestic and foreign needs based on the domestic and foreign trend of science and technology. The mission and goals and the educational purpose are understood and supported by both internal and external people and fully reflected in a mid- and long-term plan.

Article 1 of the University Rules that stipulates “The University shall conduct internationally outstanding education and research in science and technology, and thus contribute to the sustainable development of Okinawa, and promote and sustain the advancement of science and technology in Japan and throughout the world” is reflected in three policies (Diploma policy, Curriculum Policy and Admission Policy). These three policies are the basic concept of the Graduate University that can realize the five central concepts: Best in the world; International; Flexible; Global Networking; and Collaboration with Industry.

The educational purpose and the structure of the education and research organization are consistent. The organization consisting of Provost, Executive Vice President and three Deans (Dean of the Graduate School, Dean of Faculty Affairs, and Dean of Research) is established and properly operated.

#### **Standard 2 : Students**

The admission policy based on the educational purpose is properly established and disseminated. In the evaluation of the policy, the meaning of “outstanding student” is clearly defined, describing that the Graduate University wants to have students who have the capacity for independent research and original thinking. The Graduate University has succeeded to accept its expected students. The Graduate University provides a proper student learning support system such as collaboration between faculty and staff members, and uses Teaching Assistant (TA) for its student assistance.

The Graduate University has established a support system to facilitate social and vocational independence both within and outside of the curriculum and provided a carrier development assistance as a researcher and opportunities to experience educational instruction. It also provides economic assistance for a stable student life, and provides a travel expense subsidy for learning and participating in an academic meeting properly. The Graduate University has a

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medical clinic where bilingual doctors and nurses always stay to provide sufficient health support. A clinical psychologist is also available in the clinic for mental support. The learning environment is properly established.

Opinions and requests from students are properly reflected through the Board of Students that represents all the students.

- **Before entering the Graduate University, students are allowed to experience a lab as well as participate in an intensive language course, which can help students prepare for the research activities in the Ph.D. course. We highly evaluate such system.**
- **An academic mentor for the first year, and an instructor faculty for the second year and later, and three thesis instructors are assigned to each student. We highly evaluate such systematic instruction system.**
- **We highly evaluate that the Graduate University has the “Child Development Center (CDC)” for students, faculty, and staff members who need child care.**
- **We highly evaluate systems the Graduate University prepares for better and focused research activities such as “Family Rooms” and “Mothers’ Rooms” for breast-feeding and other child care services.**

### **Standard 3 : Educational Curriculum**

The Graduate University rigidly applies the criteria of credit recognition, promotion and completion. In the educational curriculum and a teaching method, it is clearly indicated and publicly announced on its web site that the Graduate University puts emphasis on higher education based on the basic science, and takes into account preferences and capacity of individual students by providing customized educational curriculum. For accepting students from all over the world, the Graduate University adopts the September entrance system and also figures out various ways in the educational method such as the “Lab Rotation” for better understanding of various areas, technologies, and thoughts.

Based on three policies, the Graduate University conducts checking and evaluation for improving the educational programs, methods, and educational instructions for students. The Graduate University has made efforts to maintain a consistent review standard for the research plan review that is conducted by external and internal reviewers. The Graduate University hear students’ voices via a questionnaire conducted by the Students Association that checks the satisfaction among students. The result is shared with the Dean of the Graduate School.

- **We highly evaluate a rigid review system for thesis review conducted by the Graduate University, where it has a panel of review that includes two domestic and foreign professionals as reviewers.**
- **We highly evaluate the “Lab Rotation” system that enables students to have a wide range of research experience beyond their own areas.**

### **Standard 4 : Faculty and Staff**

Under proper leadership by the President for a decision-making of the Graduate University and

education management, the “Executive Committee Meeting,” is held for information sharing and organizational decision-making. Titles, roles, and responsibilities are clearly defined and the educational management is established that considers proper division of powers and clear responsibilities. For effective business operation, the Graduate University establishes a systematic administration system that ensures well-functioned educational management such as allocation of staff members and clarification of roles and responsibilities.

For allocation and professional development of faculty, the Graduate University has adopted faculty who has international experience and deep insights. The Graduate University also takes measures for improving and developing the curriculum and educational methods such as the Faculty Development (FD) and the Staff Development (SD).

For supporting research activities, the Graduate University has provided superior common research facilities and research support services. The Research Support Division has conducted the “International Peer Review” on a continuous basis. Individual faculty member is supposed to be reviewed by external reviewers for allocation of budget. We highly evaluate the budget allocation system based on an objective assessment as well as proper development and operation of research environment.

- **As 59 faculty comes from 17 countries, we highly evaluate the diversification of teaching staff structures.**
- **We also highly evaluate that the Graduate University uses an external assessment for employment, promotion, and contract renewal of faculty.**

#### **Standard 5 : Management, Administration and Finance**

The Graduate University prepared the “Framework Document II” in July 2014 that indicated a mid- and long-term prospect and plan, under which the Graduate University is operated under the values of integrity, honesty, fairness, thoughtfulness to others, and contribution to the mission of the Graduate University. An annual Business Plan is prepared pursuant to the Cabinet Order and the evaluation is made as of the end of each fiscal year by reporting the business performance to the Board of Governors. The Business Plan and the Performance Report are publicly announced on its web site by the end of May in the following fiscal year, which ensures transparency of operation as well as the discipline and honesty of the management of the Graduate University. The Graduate University has conducted safety education and training related to research activities and specific business and also promoted safety and sanitation through a health promotion program.

The Board of Governors adopts an European-style management, thus the responsibilities and powers delegated to the Board of Governors are stronger than those of Japanese universities, which enables to establish a control and management system for more strategic decision-making. The “Executive Committee Meeting” is held for preparing agenda of the Board of Governors meeting about the entire university operation issues, and sharing information. Such system contributes to smooth decision-making for the management and operation of the school corporation as well as the Graduate University. The auditors’ audit provides a system for ensuring proper and effective business management and proper accounting as well as helps maintain a mutual checking function as the school corporation as well as the Graduate University.

The Graduate University is financed by the operation subsidy and facility development subsidy

provided by the national government. A stable financial basis is established and proper financial balance is maintained by the budget within the amount of subsidies permitted by the government. A summary of financial statements are audited by the auditors who submit an auditors' report to the Board of Governors for review and approval at the Board of Governors meeting. Within three months from the end of each fiscal year, the financial statements including supplementary statements are submitted together with a report by an independent audit office to the Prime Minister, ensuring a proper accounting and audit system and rigid implementation.

### **Standard 6 : Internal Quality Assurance**

For establishing an organization that ensures internal quality, the Graduate University has developed and established an organization and a responsible system for internal quality assurance. In a self-evaluation and assessment for internal quality assurance, the Graduate University conducted a peer review that is a self-evaluation and assessment system in 2015 in the third year from its establishment. The result was shared and sufficient examination, data collection and analysis were conducted using the Institutional Research (IR) function. For ensuring the functionality of internal quality assurance, the Graduate University has established a proper PDCA cycle for ensuring internal quality and functionality of the Graduate School and the entire Graduate University. The evaluation metrics are defined every fiscal year that are used for self-evaluation and assessment in addition to the performance report shared with the Cabinet Office and the accounting report to the Board of Audit. The Graduate University has a two-step evaluation system under which each responsible Division and Office provides a primary review of related data and the President re-reviews the result of self-evaluation submitted by each Division and Office.

In General, as it is a special private graduate university that was established as a national government project and under a national law, and receives the financial assistance from the national government that covers more than 95% of its operation costs, the Graduate University is a pioneer tackling various challenges and leading the future of graduate universities in Japan. We highly evaluate not only its cutting-edge scientific and technological researches but also its pioneering cross-disciplinary efforts seeking creative research result. It should also be noted that the Graduate University is part of the experimental project based on a new concept under which its efforts can contribute to the self-sustainable development in Okinawa.

For “Standard A: Contribution to the Sustainable Development of Okinawa” that is defined as the “Standards Unique to Each Institution for Its Mission and Goals,” please see the General View of the Evaluation.

The following is a list of “Special Notes” set forth by the Graduate University:

1. Obtain the LEED Silver;
2. Support of internationalization of administrative tasks in other universities;
3. Adopt superior young researchers and support international communities.

### **III Evaluation for each standard**

#### **Standard 1 : Mission and Goals, etc.**

##### **[Evaluation Results]**

OIST meets the requirements of the Standard 1.

**1-1 Defining the mission, goals, and educational objectives**

- 1-1-(1) Specific and clearly defined contents**
- 1-1-(2) Simple documentation**
- 1-1-(3) Clear indication of individuality and distinctive qualities**
- 1-1-(4) Response to changes**

**[Evaluation Results]**

OIST meets the requirements of the Standard 1-1.

**<Reason>**

The mission and goals and the education purpose are briefly summarized in the Okinawa Institute of Science and Technology School Corporation Act (the OIST Act) and the University Rules. The basic concept of the Graduate University based on the educational purpose is described as five central concepts: Best in the world, International, Flexible, Global Networking, and Collaboration with Industry. The characteristics and features of the Graduate University are clearly described as follows: (i) Special private university established as a national project under the national law, (ii) Promotion of interdisciplinary research, (iii) A single graduate school and single major in science and technology, (iv) A 5-year PhD program only, (v) September-entrance system, and (vi) Curriculum customized for individual students.

For responding to changes, the Graduate University adopts the Fifth Science and Technology Basic Plan prepared by the MEXT as guidelines, and take corrective and improvement measures to properly meet domestic and international needs in consideration of the scientific and technological trend in the world.

**1-2 Reflection of the mission, goals, and educational objectives**

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

**[Evaluation Results]**

OIST meets the requirements of the Standard 1-2.

**[Reason]**

The mission and goals and the educational purpose are well understood and supported by officers, faculty, and staff members. As the Graduate University has been established recently, the officers were involved as the establishment preparation committee members and have continued working so far. For disseminating information within and outside of the Graduate University, the Graduate University has not only announced various information within OIST but also used the “Bilingual website” and the “Graduate School Handbook” for active

information dissemination externally. This policy is clearly reflected in the “Framework Document II” that is a basis for the mid- and long-term plan as well as an annual Business Plan prepared pursuant to laws and regulations.

Article 1 of the University Rules “The Graduate University shall conduct internationally outstanding education and research in science and technology, and thus contribute to the sustainable development of Okinawa, and promote and sustain the advancement of science and technology in Japan and throughout the world” is reflected in three policies and the Graduate University has made efforts to realize the basic concept of the Graduate University: Best in the world, International, Flexible, Global Networking, and Collaboration with Industry. For maintaining the consistency between the educational purpose and the structure of education and research organization, the Graduate University has established an organization consisting of Provost, Executive Vice President and three Deans (Dean of the Graduate School, Dean of Faculty Affairs, and Dean of Research) that is properly operated.

## **Standard 2 : Students**

### **[Evaluation Results]**

OIST meets the requirements of the Standard 2.

#### **2-1 Admission of students**

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

### **[Evaluation Results]**

OIST meets the requirements of the Standard 2-1.

### **[Reason]**

The admission policy based on the educational purpose is that “The Graduate University aims to train researchers who will play important roles in the international scientific community at leading scientific institutions in the public and private sectors,” which is publicly announced on its website. Accordingly, the Admissions Policy will make it a principle to recruit candidates with the potential and motivation to become leaders in scientific research on the international stage. It also clearly defines “outstanding students” and the Graduate University seeks students who are highly motivated by the desire of intellectual excitement and swelling expectation brought through the cutting-edge research at OIST, and has the capacity for independent research and original thinking.

For maintaining the appropriate number of students in accordance with the admission quota, the Graduate University has succeeded to have the sufficient number of applicants, which enables it to choose appropriate students. As a result, the Graduate can adopt students as it expects.

### **<Superior points>**

As students can receive a practical experience of lab and intensive language courses before entering the Graduate University, we highly evaluate that the Graduate University provides them with a sufficient support for research activities.

## **2-2 Support for learning**

**2-2-(1) Development of a support system for education including collaboration between faculty and staff**

**2-2-(2) Enhanced support for education including effective use of TAs (teaching assistants), etc.**

### **[Evaluation Results]**

OIST meets the requirements of the Standard 2-2.

### **[Reason]**

As a support for learning, the Graduate University has established a learning support system based on collaboration between faculty and staff members. It also assigns academic mentors and thesis supervisors, and provides students with consultation service through coordinators (Examinations, Research progress, and Degree completions) and a mental health care support. All these supports are extended in response to their individual needs.

Learning support using teaching assistances (TAs) is also provided. An academic mentor acts as a TA and provides support for learning. The Academic Service Section properly manages resources necessary for the education, and the use of “eFront Pro” that is a learning management system enables to properly control classes and home works. A proper support system is also provided in the mental side by providing “Ganju Service (counselling service).”

### **<Superior points>**

- An academic mentor for the first year, and a thesis supervisor for the second year and later, and three thesis committee members are assigned to each student. We highly evaluate such systematic instruction system.

## **2-3 Career guidance**

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

### **[Evaluation Results]**

OIST meets the requirements of the Standard 2-3.

### **[Reason]**

For career guidance, the Graduate University has established a support system on social and professional independence within and outside of the educational curriculum, aiming at a career development as a researcher, and provided an opportunity of teaching and instructing students as a part of its educational system. Within the educational curriculum, the courses entitled “Professional Development I (PD I)” and “Professional Development II (PD II)” are offered that aim at fostering abilities and capabilities to develop a career path as a scientist. Additionally, the Graduate University has invited professionals from the business sectors and the scientific and technological research communities to hold workshops and seminars, which



can deepen the understanding of expected career of the students.

The Admission Career Development Section provides career information on a systematic manner and establishes a one-stop search system that enables students to search recruitment information from universities and research institutes all over the world at once.

## **2-4 Student services**

### **2-4-(1) Support for stable school life**

#### **[Evaluation Results]**

OIST meets the requirements of the Standard 2-4.

#### **[Reason]**

For student services, the Graduate University provides an economic support to cover the tuition fee (only in exceptional cases like some excellent students) and living expenses (i.e. a scholarship system, award, and the research assistant system) that are equivalent to the level of other international research universities in the world, for the purpose of ensuring a stable student life. The Graduate University also gives proper supports for travel expenses for learning purpose and attending an academic meeting. The Graduate University has a medical clinic where bilingual doctors and nurses always stay to provide sufficient health support. A clinical psychologist is also available in the clinic for mental support.

#### **<Superior points>**

- We highly evaluate that the Graduate University has the “Child Development Center (CDC)” for students, faculty and staff members who need child care.

## **2-5 Development of the educational environment**

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

#### **[Evaluation Results]**

OIST meets the requirements of the Standard 2-5.

#### **[Reason]**

For the development of learning environment, the Graduate University has developed the learning environment such as a school site and buildings, for the purpose of harmonization between the cutting edge technologies and the environment, interdisciplinary exchange, and academic-industry collaboration network. Laboratories are properly developed and there is a library where students can effectively use electronic journals. The convenience of the facilities and equipment are well considered such as barrier-free access. The number of students who are admitted attending a class is well controlled.

#### **<Superior points>**

- We highly evaluate systems the Graduate University prepares for better and focused

research activities such as “Family Rooms” and “Mothers’ Rooms” for breast-feeding and other child care services.

**2-6 Response to students’ opinions and requests**

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

**[Evaluation Results]**

OIST meets the requirements of the Standard 2-6.

**[Reason]**

For understanding and analysis of students’ opinions and requests and the use of the result, the Board of Students that is a representative group of the students has a meeting with the Board of Governors/Board of Councilors, the president, and the faculty meeting on a regular basis to directly and indirectly review and discuss matters affecting students such as the learning environment, curriculum, financial support, and other student’s welfare issues, which helps realize a proper action. The Graduate University also understands and analyzes various opinions and requests from students about their school life such as physical and medical health consultation and financial support, and uses the result properly.

**Standard 3 : Educational Curriculum**

**[Evaluation Results]**

OIST meets the requirements of the Standard 3.

**3-1 Accrediting, graduation certification, and completion certification**

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

**[Evaluation Results]**

OIST meets the requirements of the Standard 3-1.

**[Reason]**

For accrediting, progression and completion certification, the Graduate University defined a clear diploma policy as a requirement for awarding a doctorate, saying “The Ph.D. degree is conferred by the University in recognition of completion by the candidate of original research that makes a significant contribution to scientific knowledge” that is the educational purpose of the Graduate University, and widely disseminates the policy both internally and externally

on its website. The criteria of credit recognition, promotion, graduation, and completion based on the diploma policy are also clearly indicated and disseminated.

The accrediting criteria, progression criteria, and completion recognition criteria are properly established and operated. Before starting research activities for a doctoral thesis, the “Curriculum Examination Committee (CEC)” checks whether the student is ready for preparing a doctoral thesis, and students are required to prepare their thesis review pursuant to the guidelines.

**<Superior points>**

- We highly evaluate a rigid review system for doctoral dissertation conducted by the Graduate University, as the Graduate University has a panel of thesis review that includes two domestic and international professionals as a reviewer.

**3-2 Educational curriculum and teaching methods**

**3-2-(1) Development and dissemination of the Curriculum Policy**

**3-2-(2) Consistency between the Curriculum Policy and Diploma Policy**

**3-2-(3) Systematic organization of educational curriculum in accordance with the Curriculum Policy**

**3-2-(4) Implementation of liberal arts education**

**3-2-(5) Design and development of teaching methods and their effective implementation**

**[Evaluation Results]**

OIST meets the requirements of the Standard 3-2.

**[Reason]**

The Graduate University defines the curriculum policy, saying “The academic program will aim to develop the full potential of each student toward scientific excellence and independence” that is the educational purpose of the Graduate University, and widely disseminates the policy both internally and externally on its website. The Curriculum Policy and the Diploma Policy are consistent and a 5-year Ph.D. program is structured in a systematic manner in line with the Curriculum Policy. It is clearly indicated and publicly announced on its web site that the Graduate University puts emphasis on highly interdisciplinary education based on the basic science, and takes into account wishes and adequacy of individual students by providing customized educational curriculum.

For accepting students from all over the world, the Graduate University adopts the September entrance system and also figures out various ways in the educational method such as the “Lab Rotation” for better understanding of various areas, technologies, and thoughts. It sets the upper limit of the number of courses registered for ensuring the time for learning, reading, and research activities engaged through the “Lab Rotation”.

**<Superior points>**

- We highly evaluate the “Lab Rotation” system that enables students to have a wide range of research experience beyond their own areas.

### **3-3 Inspecting and evaluating educational outcomes**

**3-3-(1) Establishment and operation of methods for inspecting and evaluating educational outcomes in light of the Three Policies**

**3-3-(2) Feed-back on inspection and evaluation results of educational outcomes for improving educational contents, methods, and guidance**

#### **[Evaluation Results]**

OIST meets the requirements of the Standard 3-3.

#### **[Reason]**

For inspecting and evaluating educational outcomes, the “Curriculum Examination Committee (CEC)” is established that holds a meeting monthly to supervise the progress of learning at all the stages of the program, and based on three policies, inspects and evaluates educational outcomes for the purpose of improving curriculum, education methods, and instructions for learning. The Graduate University has made efforts to maintain a consistent review standard for research plan that is conducted by external and internal reviewers. The result of inspection and evaluation of educational outcome is evaluated by students at the end of each academic term by evaluating the registered courses, and the result of the student evaluation is fed back to the faculty. The Student Association distributes a questionnaire sheet that checks the satisfaction among students. The result is shared with Dean of the Graduate School.

### **Standard 4 : Faculty and Staff**

#### **[Evaluation Results]**

OIST meets the requirements of the Standard 4.

#### **4-1 Functionality of the academic management**

**4-1-(1) Establishment and demonstration of appropriate leadership of the president in university decision-making and academic management**

**4-1-(2) Establishment of academic management with appropriate distribution of authority and clarification of responsibilities**

**4-1-(3) Functionality of academic management through staff positioning and clarification of roles**

#### **[Evaluation Results]**

OIST meets the requirements of the Standard 4-1.

#### **[Reason]**

Under proper leadership by the president for a decision-making of the Graduate University and academic management, the “Executive Committee Meeting” is held on a biweekly basis for information sharing and organizational decision-making.

Titles, roles, and responsibilities of executives consisting of the President, CEO, Executive Vice President and Chief Operating Officer (COO), are clearly indicated and the academic management is established that considers proper division of powers and clear responsibilities.

The organizational framework of each division is clearly defined. The proper number of staff members is assigned and their roles and responsibilities are clearly divided. The titles, roles, and responsibilities of managers are also clearly defined.

For effective business operation under the executives, the Graduate University establishes a systematic administration system that ensures well-functioned academic management such as allocation of staff members and clarification of roles and responsibilities.

#### **4-2 Teacher assignment and faculty development**

**4-2-(1) Securing and positioning faculty members through their appointment and promotion in accordance with educational objectives and curriculum**

**4-2-(2) Development and improvement of educational contents and methods including FD (faculty development), as well as their effective implementation**

#### **[Evaluation Results]**

OIST meets the requirements of the Standard 4-2.

#### **[Reason]**

For faculty assignment and professional development, as the half of the faculty is non-Japanese, the “Affirmative Action” is adopted to employ faculty who has international experience and insights regardless of their gender, age, and nationality. When assessing faculty, the Graduate University conducts a research unit review, promotion review, and tenure review based on the consistent assessment criteria. Employment, appointment, promotion, assessment, and retirement of faculty are based on clear criteria, which ensure employment, promotion and allocation of faculty in line with the educational purpose and curriculum.

For improving and developing the curriculum and educational methods such as the Faculty Development (FD) and for effective implementation, the Graduate University establishes a guideline for improving the quality of faculty who is involved in the education and research instruction for students. The guideline is distributed to individual faculty. Additionally, faculty attends a class of other faculty mutually and exchanges opinions for better education.

#### **<Superior points>**

- We highly evaluate the diversification of faculty at the Graduate University, as 59 faculty comes from 17 countries.
- We also highly evaluate that the Graduate University uses an external assessment for employment, promotion, and contract renewal of faculty.

#### **4-3 Staff training**

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

#### **[Evaluation Results]**

OIST meets the requirements of the Standard 4-3.

#### **[Reason]**

The staff training program is supervised by Gender Equality and Human Resource Development Division and the staff members can search and receive various training courses on the internal portal site. The Graduate University has also conducted various training programs for the SD purpose. The Graduate University evaluates self-improvement and self-promotion efforts when assessing the staff performance, and has steadily taken measures such as the SD to improve capability and ability of staff members for the operation of the Graduate University.

#### **4-4 Research support**

**4-4-(1) Development, appropriate operation, and management of the research environment**

**4-4-(2) Establishment and strict application of research ethics**

**4-4-(3) Resource allocation for research activities**

#### **[Evaluation Results]**

OIST meets the requirements of the Standard 4-4.

#### **[Reason]**

For research support, Research Support Division supervises seven technical sections and two administrative sections, providing researchers with superior common research facilities and research support services.

The Research Support Division has conducted the “International Peer Review” on a continuous basis. Individual faculty member is supposed to be reviewed by external reviewers for allocation of budget. We highly evaluate the budget allocation system based on an objective assessment as well as proper development and operation of research environment.

In accordance with the “Code of Conduct for Scientists” and the “Guidelines responding to unfair practice in research activities,” and other related guidelines and policies, the Graduate University has firmly established the research ethics and is carrying out rigid operation of these guidelines and policies.

Additionally, six staff members are allocated at Grants and Research Collaborations Section that specifically provides specific support services to earn external funds such as a program to enhance support for the application for Kakenhi, which results in proper resource allocation to research activities.

### **Standard 5 : Management, Administration and Finance**

#### **[Evaluation Results]**

OIST meets the requirements of the Standard 5.

#### **5-1 Management discipline and integrity**

**5-1-(1) Upholding management discipline and integrity**

**5-1-(2) Continuous efforts to achieve the mission and goals**

**5-1-(3) Considerations for environmental conservation, human rights, and security**

**[Evaluation Results]**

OIST meets the requirements of the Standard 5-1.

**[Reason]**

For ensuring the discipline and honesty of the management, a mid- and long-term prospect and plan is indicated, and the Graduate University is operated under the values of integrity, honesty, fairness, thoughtfulness to others, and contribution to the mission of the Graduate University. An annual Business Plan is prepared pursuant to the Cabinet Order, and is publicly announced together with the Business Performance Report approved by the Board of Governors on its web site by the end of May in the following fiscal year, which ensures transparency of operation as well as the discipline and honesty of the management of the Graduate University.

The Business Plan clearly indicates the goals and measures to be taken for each item composed by education/research, transparency and effectiveness of governance and business operation, finance, contribution to a self-sustained development of Okinawa area, campus environment development/formation and safety of university community, and consideration of the environment. The Graduate University has made a continuous effort to achieve the mission and goals.

The Graduate University has conducted safety education and training related to research activities and specific business and also promoted safety and sanitation through a health promotion program. The Graduate University has respected diversification and make efforts to give opportunities regardless of race. etc., as well as focused on the environment preservation, human rights, and safety.

**5-2 Functions of the Board of Governors**

**5-2-(1) Development and functionality of a system to enable strategic decision-making for achieving the mission and goals**

**[Evaluation Results]**

OIST meets the requirements of the Standard 5-2.

**[Reason]**

The Board of Governors adopts an European-style management, thus the responsibilities and powers delegated to the Board of Governors are stronger than those of Japanese universities, which enable to establish a control and management system for more strategic decision-making. Board members include Nobel prize awarded and other prominent scientists who have made a significant contribution to the development of science and technology, those who have deep insights in the promotion and development of Okinawa, and those who have an advanced knowledge and experience on university management. The Graduate University has a decision-making system and functionality for achieving its mission and goals such as promotion of interdisciplinary education and research and contribution to the self-sustained development of Okinawa.

**5-3 Facilitation and cross-checking of administration and operation**

**5-3-(1) Facilitation of decision-making among administrative organizations at the corporation and university**

**5-3-(2) Functionality of cross-checks among administrative organizations at the corporation and university**

**[Evaluation Results]**

OIST meets the requirements of the Standard 5-3.

**[Reason]**

For facilitation and cross-checking of administration and operation, the “Executive Committee Meeting” is held on a biweekly basis for preparing agenda of the Board of Governors meeting about the entire university operation issues, and sharing information. Such system contributes to smooth decision-making in the organization as the school corporation as the Graduate University.

External auditors are elected pursuant to the Bylaws, and internal auditors conduct an audit on business operation and accounting. The auditors’ audit provides a system for ensuring proper and effective business management and proper accounting as well as helps maintain a mutual checking function as a school corporation and as the Graduate University.

**5-4 Financial base and fiscal balance**

**5-4-(1) Establishment of appropriate financial operation based on mid- and long-term plans**

**5-4-(2) Securement of a stable financial base and fiscal balance**

**[Evaluation Results]**

OIST meets the requirements of the Standard 5-4.

**[Reason]**

For financial base and fiscal balance, subsidies from the national government accounts for more than 95% of the total revenue. The budget consists of the operation subsidy and facility development subsidy provided by the government, and external funds. Total of the government subsidies in 10 years is expected to be 20 billion yen annually in the mid- and long-term plan. It is expected that there is no plan of supplementary business revenue, borrowings, and asset management. The Graduate University has established a basis for proper financial management based on the mid- and long-term plan.

The Graduate University is financed by the operation subsidy and facility development subsidy provided by the national government. A stable financial basis is established and a good financial balance is maintained by budgeting within the amount of subsidies permitted by the national government.

**5-5 Accounting**

**5-5-(1) Development of proper accounting procedures**

**5-5-(2) Development of an accounting audit system and its strict implementation**

**[Evaluation Results]**

OIST meets the requirements of the Standard 5-5.



**[Reason]**

The Graduate University has conducted accounting procedures pursuant to the accounting standards defined by the Cabinet Office. A monthly result is reported to the General Accounting Office. Annual financial statements and an audit reported prepared by an independent audit office are submitted to the Cabinet Office. These documents are publicly available on its website and we believe that the accounting is properly processed.

A summary of the financial statements is audited by internal auditors who submit an audit report to the Board of Governors for review and approval. Within three months from the end of each accounting year, the financial statements and its supplementary statements are submitted together with a report by an independent audit office to the Prime Minister, ensuring a proper accounting and audit system and rigid implementation.

**Standard 6 : Internal Quality Assurance**

**[Evaluation Results]**

OIST meets the requirements of the Standard 6.

**6-1 Organizational system for internal quality assurance**

**6-1-(1) Development of an organization for internal quality assurance and establishment of responsibility allocation**

**[Evaluation Results]**

OIST meets the requirements of the Standard 6-1.

**[Reason]**

For organizational system for internal quality assurance, the Graduate University has established a mechanism for internal quality assurance. More concretely, three evaluations consisting of the Business Performance Report, the peer review, and the evaluation by accreditation organization are conducted led by the “Executive Committee.” The Business Report that is a self-checking and assessment of the level of achievement against the Business Plan of each fiscal year includes the Business Report shared with the Cabinet Office and an accounting report to the General Accounting Office which are properly conducted. The external evaluation committee led by the President conducts an external assessment by superior professionals who play an active role on a global basis.

“The External Panel on Future Challenges for the Okinawa Institute of Science and Technology Graduate University” established at Cabinet Office is held on a regular basis. The external panel presents advice on the Business Plan/budget and the Business Report to the Minister of State for Okinawa and Northern Territories Affairs from a professional viewpoint.

**6-2 Self-inspection and evaluation for internal quality assurance**

**6-2-(1) Conducting self-inspection and evaluation for internal quality assurance supported by independence and autonomy, as well as sharing the results**

**6-2-(2) Sufficient survey, data collection, and data analysis effectively using II (Institutional Research), etc.**

**[Evaluation Results]**

OIST meets the requirements of the Standard 6-2.

**[Reason]**

For internal quality assurance, the Graduate University conducted a peer review that is a self-checking and assessment system in 2015, the third year from its establishment. The result was shared and sufficient research, data collection and analysis were conducted using the Institutional Research (IR) function. In the Business Performance Report, the metrics are defined every fiscal year and the achievement level is evaluated qualitatively and quantitatively based on the objective information and data including the Business Report shared with the Cabinet Office and an account report to the General Accounting Office for self-checking and evaluation.

The Graduate University has a two-step evaluation system under which each responsible Division/Office provides a primary review on the achievements and the President re-reviews the result of those self-checked report.

**6-3 Functionality of internal quality assurance**

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

**[Evaluation Results]**

OIST meets the requirements of the Standard 6-3.

**[Reason]**

For the functionality of internal quality assurance, the Graduate University has established a proper PDCA cycle consisting of preparation and implementation of the business concept and plan Business Reporting, and action for improvement in each fiscal year. The PDCA cycle of the Graduate School and the Graduate University Corporation is established and functioned well for internal quality assurance. The PDCA cycle is operated with consultation and coordination with the Cabinet Office, and checking function works well, as the progress information is shared at the Quarterly Meeting that is held four times a year.

The Graduate University prepares and implements the Business Plan, and makes the Business Performance Report pursuant to the Graduate University Act and the Framework Document. The result of self-checking/evaluation is effectively used through reporting to the Cabinet Office that is an important stakeholder at the Quarterly Meeting.

**Overview on Standards Unique to Each Institution for Its Mission and Goals**

**Standard A : Contribution to the Sustainable Development of Okinawa**

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

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

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

**[General View]**

“Contribute to the self-sustained development in Okinawa area” that is one of the mission and goals of the Graduate University is very unique and excellent. For achieving this purpose, the “Technical Development and Innovation Center (TDIC)” was established for technical development and commercialization of ideas created within research activities at the Graduate University, promotion of innovation by establishing a strategic partnership with organizations in and outside of Okinawa prefecture, in Japan and overseas, and development of a system for understanding the factors required for success and measuring the impact on the society and the economy. More concretely, the TDIC has conducted researches in the areas of the marine science and the wave power generation, leveraging the environment of Okinawa and local features. We hope that these actions will make a fruitful result.

The TDIC also conducts the proof of concept research that is very unique globally, by combining the cutting edge technology research, fund raising, practical training, and human resource development support. As many research results involve an issue of intellectual property such as inventions and utility models, the Graduate University has held a basic training course on intellectual property as a part of orientation for newly joined staff members, for the purpose of fully disseminating the “OIST Intellectual Property Policy.” For local contributions toward the promotion of Okinawa, the Graduate University has conducted a joint research project with Okinawa prefecture, local municipal governments, and private companies in the areas of the biological science and the environmental science, for the purpose of preserving a rich nature in Okinawa. In addition, the Graduate University has promoted a visiting program from primary schools, junior high schools and high schools in Okinawa prefecture and supporting the “Super Science High School (SSH)” activities in Okinawa and Kyushu.

**Other unique activities:**

1. Acquisition of LEED Silver Certification

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

2. Assisting internationalization of other universities

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

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

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

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

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

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

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

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