



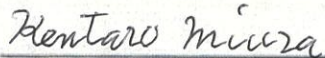
OIST

OKINAWA INSTITUTE OF SCIENCE AND TECHNOLOGY GRADUATE UNIVERSITY
沖縄科学技術大学院大学

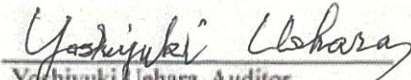
May 19, 2022

To: Board of Governors and Board of Councilors,
Okinawa Institute of Science and Technology School Corporation

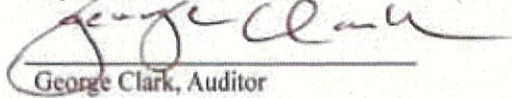
From:



Kentaro Miura, Auditor



Yoshiyuki Uehara, Auditor



George Clark, Auditor

FY 2021 Audit Report

This document is to report the results of our periodical independent audit, regarding the business and financial operation during the fiscal year of 2021, at the Okinawa Institute of Science and Technology School Corporation. The audit was conducted in accordance with Section 3, Article 15 of the Okinawa Institute of Science and Technology School Corporation Bylaw.

1. Methods of Audit

- (1) For the operational audit, we attended the Board of Governors and Board of Councilors meetings and conducted interviews with the President and other executive members regarding the School Corporation's business execution. We also reviewed important kessai (decision-making) documents and examined the adequacy of the business, in cooperation with the Internal Audit Section.
- (2) For the audit of financial status, we confirmed the accuracy of the statements with the accounting firm, Ernst & Young Shin Nihon LLC.

2. Conclusion

- (1) We did not find any significant violation of laws and regulations, or bylaws, nor any act of misconduct or fraud pertaining to the School Corporation's business administration and its assets.
- (2) We verify that the business report accurately reflects the condition of the School Corporation's business operation.
- (3) We also verify that the financial statements match the contents of the accounting records, and that the School Corporation's status of assets, gain and loss, are properly shown in compliance with laws and the Okinawa Institute of Science and Technology Accounting Standard. The Financial Closing Report was prepared according to the budget classification and properly reflected the status of closing.

Please find attached FY 2021 Audit Results and Auditors' Opinion.

FY 2021 Audit Results and Auditors' Opinion

1. Introduction

The Okinawa Institute of Science and Technology Graduate University (hereinafter, "OIST") marked its 10th anniversary in 2021 under the unprecedented circumstances brought forth by the COVID-19 pandemic. In addition, the Okinawa Promotion Plan, which includes OIST-related concepts as one of its pillars, is being reviewed, and from this perspective, this year marks a significant milestone.

With the COVID-19 pandemic continuing to be a major threat worldwide, and with the increase of various risks, such as cyber security risks, this year's auditors' audits also included a review of OIST's efforts to prepare for the post-pandemic world as well as when the pandemic has reached a certain point of abatement.

In conducting the audits, the auditors received sincere responses from divisions to be audited and great cooperation from the university's management and other concerned parties. We would like to express our deepest gratitude.

2. Audit plan

(1) Basic audit policy

In accordance with Article 15, Section 3 of the Okinawa Institute of Science and Technology School Corporation Bylaws and Chapter 9, "Auditors' Audit," of OIST's "Library of Policies, Rules, and Procedures" (hereinafter, "PRP"), the audits are conducted to promote OIST's legitimate and efficient business and administrative operations and to form the auditors' opinion on the closing of FY2020 as provisioned in Article 34, Section 1 of the Bylaws, including the progress and findings from the audit conducted by an accounting firm.

(2) Audit items

For the FY2021 audit, the auditors audited the items prescribed in the PRP Chapter 9.4.1, with emphasis in below ①through ⑤ areas that are included in the Business Plan, and ⑥, as well as the items under Annual Auditors' Audit in the Guidelines for Auditor's Audit, Okinawa Institute of Science and Technology Graduate University (approved by Auditors in September 2017).

- ① Education and research;
- ② Transparency and efficiency of governance and business operations;
- ③ Finance;
- ④ Contribution to the independent development of Okinawa;
- ⑤ Campus development, formation of the university community, ensuring safety and the environment; and
- ⑥ Other matters that require audit for the university to achieve sound and stable operations.

Specifically, the auditors audited the following items (hereafter, "common matters") that require ongoing efforts.

- Improvement of Operational Efficiency,
- Addressing Labor Shortages,
- Management of Work Progress,
- Management of Budget Execution,
- Coordination between Divisions,
- Improvement of Working Environment,
- Anti-harassment Measures,
- Training Programs,
- Enhancement of Staff's Management Skills,
- Ensuring Information Security,
- Initiatives for Disaster Prevention and Safety and Health Management, and
- The Business Continuity Plan (BCP).

In addition, the auditors continued to audit the COVID-19 pandemic response as in the previous fiscal year, as ongoing efforts will be needed in the future. In addition, as mentioned above, this year's audits also included an audit of efforts to address issues during the pandemic and beyond.

In addition, the individual divisions were audited for items such as "contribution to the promotion of Okinawa" (hereinafter, "individual items") as stated in the purpose of the establishment of the university (Okinawa Institute of Science and Technology School Corporation Act [No. 76, 2009]).

In discussing the individual items, the order and the names of the divisions are in accordance with PRP 2.4.

3. Common items

(1) Improvement of Operational Efficiency

At OIST, one of the challenges is to improve operational efficiency in order to cope with the increase in workload due to the expansion of the university's size and other factors.

To this end, the divisions were asked about the operational efficiency improvements they made in FY2021, as well as ideas and plans for operational efficiency improvements they would consider in the future, following FY2020.

All divisions have been reviewing and improving their workflows and utilizing information technology, and they will continue to do so in the future.

【General Counsel (GC)】

- Early intervention in disputes has reduced the subsequent process. In several employment contract dissolutions, disputes were prevented.

【CIO and IT Division (IT)】

- The IT Division is considering using chatbots for part of their customer service work to reduce the staff-hours required to respond to inquiries. They wish to create successful examples and expand horizontally.

【Provost and Research Support Division (RSD)】

- The division has introduced a new equipment booking system. This market product has replaced a house-made system and enabled each section to manage booking data, user data and prepare statistics easily.
- A new Director for Core Facilities will be appointed, and the existing duties of the Provost and Assistant Provost will be decentralized to allow the division to devote resources to tasks that have not been adequately resourced in the past (e.g., outreach to Okinawa).

【Secretary General (SG)】

- The Secretary General's Office led a review of the Secretariat structure and operations by BAIN & COMPANY (BAIN) in September–October 2021. Specific measures are being considered in response to BAIN recommendations. Good suggestions were obtained from BAIN.
- The use of IT tools presented in FY20 has continued, and in FY21, the office is promoting the use of Microsoft Teams, a business chat system, not only within the Office of the Secretary General but also for information sharing and collaboration with other divisions. In this way, we are reducing the 20th century work style of attaching documents to emails.

- The Office of the Secretary General plans to implement specific measures in response to the above recommendations from BAIN and plans to use ServiceNow to implement annual COI disclosure from this fiscal year.

【Graduate School (GS)】

- Graduate School is implementing a new student information system called Navii with a company called Open Campus. After this is implemented, most Graduate School functions and workflows will be conducted through Navii. By building, organizing, and implementing workflows into the new system, support services to students and faculty are expected to be extremely efficient.
- The implementation of Navii will continue in FY2022, and once Navii reaches the practical stage, GS hopes to develop a ticket system, which is currently used by the IT Division, or a similar system to track communication and enable more efficient communication with students and faculty.
- Navii is currently in operation for application management and admissions-related services. Most of the workflow has been automated and has become very convenient. Since it is still in the early stages of implementation, Graduate School is still busy implementing other workflows and adjusting the services in operation, but it is expected that within one to two years, the effects of the improved operational efficiency will become apparent.

【Faculty Affairs Office (FAO)】

- DocuSign: Until recently, the signing of depository license agreements to register research papers (by the Library) was done manually and on paper. The implementation of the system "DocuSign" introduced a change to digital signatures which greatly reduced workload and increased the protection of personal information.
- In order to improve the efficiency of administrative work related to faculty tenure and promotion reviews, the cloud system "Interfolio," which was introduced by the faculty recruiting team, was introduced for other work unrelated to faculty recruitment. Since many reviews were postponed this year due to the pandemic, it is anticipated that concrete effects will begin to emerge in FY2022, particularly in terms of reduced work time and fewer operational errors.

The faculty recruiting team is in its fourth year of using "Interfolio" and is effectively utilizing it at all stages: 1) review of a very large number of applications by the Faculty Search Committee, 2) input of evaluations by faculty after screening, and 3) approval process at the final review stage. The system has become so pervasive that there are almost no requests for support from system users. In FY2021, it continued to improve the efficiency of administrative work, reduce printing work and paper-based communication, and reduce errors caused by manual work.

The faculty review team introduced "Interfolio" this fiscal year. Although the full-scale use of the system is scheduled for the end of FY2021 to FY2022, as mentioned above, due to delays in tenure and unit reviews caused by research delays due to the pandemic, it is expected to reduce the use of paper documents, reduce errors caused by manual work, and improve the efficiency of administrative work in general.

- The C-Hub (Career-Hub), which provides university-wide professional development, plans to develop Standard Operating Procedures (SOPs) to shorten and streamline administrative work for their annual events.

【Dean of Research (DoR)】

- In the wake of the COVID-19 pandemic, the Academic Partnership Team needed to be flexible in shifting symposia and workshops to virtual or hybrid formats, so it developed a manual to facilitate symposia and workshops in those new formats. As a result, staff, including temp staff, can now refer to the manual and set up hybrid-style workshops without the IT Division's support.

In addition, the division made full use of project management platforms such as Microsoft Teams and "Asana" to manage schedules and share files smoothly.

- In the Grants and Research Collaborations Section, no major reforms were made to improve efficiency, but with the addition of two new hires, the duties of each staff member were redefined.

The section is considering the possibility of using an automatic response system, or chatbot, to inquire about items that can be purchased with the KAKENHI (Grants-in-Aid for Scientific Research) in the future.

【Technology Development and Innovation Center (TDIC)】

- TDIC continued to use software to improve work efficiency. Zoom, Skype for Business, Microsoft Teams, and other applications and tools are used to facilitate communication. "Asana" is used to manage projects and tasks. The division also uses "Salesforce" as a tool for customer relationship management. OIST Startup Accelerator Program's recruitment and review process was made more efficient through the use of Survey Monkey.
- TDIC plans to use "Salesforce" to enhance the management of contracts to improve efficiency when preparing reports.

【Financial Management (FM)】

- The Supply Center and the Inspection Center used to be separate teams, but since June 1, 2021 they have been combined into one team, the Logistics Team, in order to improve the research support system and strengthen the inspection function by flexibly reallocating and utilizing existing human resources. This has created a system whereby other personnel can flexibly provide support in the event of a vacancy in an existing position.

- Fixed assets acquired with KAKENHI grants are donated to OIST by individuals and managed as OIST assets. When a KAKENHI-awarded researcher retires, the fixed assets are returned to the researcher by applying for their return. The application forms were revised to include the asset number and budget center, which were necessary for fixed asset management, and to eliminate the need for the fixed asset manager to check and process the application each time.
- Regarding application documents related to changes in assets (transfer, disposal, donation, loan, and borrowing), the flow and format were changed so that a single application form can be checked by all related sections, thereby eliminating the need for the person in charge to check each change separately with different sections, and the format was changed to prevent user input errors, and to avoid duplication of checking and other tasks.
- Budget transfers and reassignments, which were previously done on a paper basis, are now done electronically using "ServiceNow".
- Currently, all accounting documents are stored in paper form, but the Electronic Books Preservation Act will be amended in January 2022, and these documents will need to be converted to electronic storage. This matter, along with a review of workflow, will be interwoven into the specification of the next accounting system to ensure that it is robust.

【Buildings and Facilities Management (BFM)】

- The Buildings and Facilities Management Division (BFM) holds meetings at least once a week with the Vice President and section managers to review work progress, identify problems, and resolve issues as soon as possible. Project meetings are also held as needed to review the progress of each project.
- In the Housing Management Section, housing operations related to students were transferred from the Student Support Division, and 141 new housing units were completed and opened to residents in FY2021. In order to cope with the large increase in workload, the section plans to introduce management software in FY2022 to improve the efficiency of housing move-in and move-out management operations.

【Communication and Public Relations Division (CPR)】

- In the Communication and Public Relations Division (CPR), each section is working on the initiatives described below, based on the following recognition of the Vice President for Communication and Public Relations (VPCPR).
 - OIST needs to identify priorities for efficient use of limited resources, and cross-organizational coordination is necessary to ensure the success of those priorities.
 - In the CPR office, the team's resources need to be reviewed and planned accordingly.
- Media Relations Section (hereinafter “Media Section” in all sections of CPR): Using remote working technology such as Zoom, the Media Section greatly reduced the amount

of travel and organized or joined virtual meetings. This improved the team's efficiency.

Media Section: Continue using remote work technology and reduce transportation/travel hours. If the budget situation allows, the section would like to outsource the content creation such as press releases, science stories, and translations further.

- Digital Content, Brand, and Design (hereinafter "DCBD" in all sections of CPR): DCBD set up webforms for photo, video, and social media requests to save time asking the same questions for each request. It also extended usage of "Jira Project Management" and the "Agile Method" to the entire team to track and share task information. DCBD introduced "Hootsuite", a social media management system, to streamline social media post scheduling and keep better analytics.

Currently improving use of Jira and integrating SharePoint links into projects and tasks to track the work but still collaborate on documents.

- Community Relations Section (hereinafter "CR" in all sections of CPR): Under the suspension of all outreach programs on campus due to the COVID-19 pandemic, CR introduced Zoom for virtual visiting programs, science talks, and science demonstrations. This integration also helped reduce the workload of the staff. CR may need to consider hybrid types of the program, i.e., online and on-site, especially for the visiting programs after the campus reopens to the public. CR would integrate parts of the program using the pre-recorded guiding tour video program, to improve work efficiency.
- Translation and Interpretation Team: The team has created and utilized a spreadsheet to manage each member's work, time spent on assignments, preparation time, etc., so that the workload can be analyzed, and assignments can be more efficiently divided among the team members. In addition, by introducing the "Deep L" translation software to the Translation and Interpretation Team and other sections where translation work is required, the translation work itself related to the administrative operations of the Translation and Interpretation Team has also been reduced.
- Internal Communications (hereinafter Internal in all sections of CPR): Internal started measuring and evaluating tactics in order to maximize efforts and plan future strategy; however, after losing a staff member not yet replacing them, that effort is on hold.) The vacancy must be filled by a person of the appropriate level.

【Human Resource (HR)】

- HR took the following actions to improve operational efficiency:
 - Interviews (primary and secondary) are now essentially conducted entirely online.
 - A website was established to provide information for assignments.
 - Implemented a process for new arrivals, including foreign nationals, so that they can complete procedures at the town hall and open bank accounts on their own by using the

OIST shuttle bus.

- In addition, the introduction of a time and attendance system compatible with the variable labor system and variable work hours at Child Development Center (CDC) and School Age Program (SAP) enabled efficient staffing and shift management.
- Going forward, HR would like to address the following:
 - Creating an environment in which all staff can focus on priority items based on organizational strategy by strengthening the annual work planning process.
 - Reduce labor and improve selection accuracy in personnel selection by enhancing the recruitment process.
 - Actively utilize outside human resources (temporary staffing and contractors) (consider simplifying or outsourcing housing searches, lease contract management, visa management, management training, and salary level surveys for newly arrived employees).
 - Strengthening the approval process along with revising internal regulations.
 - Strengthening activities to reduce overtime work.
 - Implement and improve talent management systems, including LMS, recruitment, and evaluation.

【University Community, Child & Youth Services (UCS)】

- Child Development Center/School Age Program (hereinafter, "CDC/SAP" in all UCS sections) worked on the following:
 - Streamlined procurement, subsidy reimbursement, time management, and training management through web-based applications, delivery services, and integration of "Microsoft Office" tools. This increased staff productivity and work efficiency.
 - Development of an evaluation rubric to simplify staff input, supervisor feedback and the annual evaluation process.
 - Bi-weekly staff meetings to improve communication, decision-making, teacher coordination and program efficiency.

Going forward, UCS would like to address the following:

- Streamlining administrative processes through the use of childcare management software.
- Analyze administrative processes and identify strategies to improve the efficiency of all staff.
- The Education Coordinator worked to "enhance and update the website, improve user accessibility through user-friendly bilingual accessible improvements, and streamline the engagement of families and staff with regard to schooling options."
- Recreation Services worked on the following:
 - Reviewed workload management and delegation of tasks within the team, and

enhanced efficient work distribution and management.

- Shared teamwork and communication maximized staff performance.

Meanwhile, staff struggled to support the growing needs of the OIST community seeking opportunities with social participation and interaction to reduce isolation and stress in the unique context of regulations related to COVID-19.

The current staffing of Recreation Services, with all responsibilities and most of the work performed by one full-time employee (the Director) within the section, is inadequate to meet the growing demand for services from the OIST community, and the restrictions placed on temporary staff have hampered service delivery in the absence of the Director.

For this reason, Recreation Services would like to consider "adding a full-time permanent employee (PEREX position) to the Recreation Services Office" in the future.

- The Resource Center worked on the following:
 - Uploaded new content ("how to" videos) to website. Simplified user access and solved common problems related to daily life in Okinawa.
 - The process of reviewing and evaluating staff was moved to a fully electronic process via "Microsoft Teams" to reduce processing time and increase staff efficiency.

Auditors' opinions

- Each division continued to be proactive in reviewing and improving their workflow, depending on the nature and characteristics of their operations.

With the use of IT technology, there is also a move toward chatbots, indicating a deepening of efforts.

Of course, it is also a very important initiative under the leadership of superiors to check in with each other, identify problems, and work together to resolve problems as soon as possible.

There are various devices and methods to improve operational efficiency, and continued proactive efforts are expected.

(2) Addressing labor shortages

Several divisions have voiced that they are "short-staffed".

In an understaffed workplace, staff may feel exhausted, which could have an undesirable effect on their mental and physical health, the division they support, and ultimately the university as a whole.

The auditors reviewed what actions are being taken for each division with regard to the personpower shortage, as well as ideas and plans for future actions being considered.

Many divisions mentioned the use of temporary staff and outsourcing of work to outside vendors.

【General Counsel (GC)】

- One unfilled position has been reduced, but there is no shortage of staff. If there is a shortage, GC Office plans to use outside resources.

【Chief Information Officer (CIO) and IT Division】

- Each section utilizes outsourced contractors and temporary staff as follows:
 - Service Support Section: Since FY2021, four full-time employees (hereinafter, “FTE”) out of six staff members have been dispatched and two FTEs have been outsourced to contractors.
 - Network and Connectivity Section: One FTE has been dispatched for simple tasks such as cabling for several years.
 - Enterprise Technology Section: One FTE in account management and operations has been outsourced to a contractor since FY2021.
 - Information Security Section: In the absence of the Chief Information Security Officer (CISO), an associate professor from Tokyo Institute of Technology is assisting as an information security advisor (Service Agreement).
- Many of the inter-system linkages are still operated manually, and automation is still under consideration to reduce workers hours.

【Provost and Research Support Division (RSD)】

- Introduction of temporary staff and revision of priority of tasks.
- Regarding the conclusion of Material Transfer Agreements (MTAs) with academic institutions, it may be possible to limit the use of MTAs to only those that are truly necessary in relation to intellectual property protection and to use a simplified form. The division plans to discuss this with the Technology Development and Innovation Center (TDIC), while keeping a close eye on the COVID-19 pandemic.

【Secretary General (SG)】

- Sections are being reorganized to allow for more flexible use of personnel.
- A university-wide team will be set up for government-related administrative work, and Microsoft Teams will be used to improve the efficiency of information sharing. Documentation such as work manuals will be developed and promoted for work handover and complementary systems.

【Graduate School (GS)】

- GS is taking remedial actions for current and future labor shortage. Implementation of Navii, a system software program, should save time in the long run, but building this

program is currently adding a significant load to personnel expenditure (hereinafter, “PEREX”) staff. GS also internally shift some personnel time between sections for peak seasons for specific tasks. Approximately 40% of GS workforce is temporary staff. This is high and not sustainable, yet GS needs many personnel to cover the necessary work as it provides core functionalities to OIST as a graduate university. Staff members are exhausted.

- There are many responsibilities that only PEREX staff can take care of. In order to avoid the negative effects on the physical and mental health of PEREX staff, there is a critical need to replace the temporary staff positions with PEREX positions in OIST as a whole.

【Faculty Affairs Office (FAO)】

- Without increasing personnel, FAO considered how to streamline and improve efficiency of daily tasks as follows: ① Adopt systems that will support quick response to inquiries and strengthen management ② Create an organizational structure where managers can focus on urgent issues. ③ Review FAO internal operations for leaner tasks. ④ Review tasks with other divisions to reduce unnecessary work.
- With the expansion of their business operations and insufficient personpower; FAO implemented the strategies stated above and requested additional staff by referring to both the FAO business plan and the Talent Management plan.

【Dean of Research (DoR)】

- The Academic Partnership Team hired one existing temporary worker as a PEREX employee in January. This is more efficient as there is no handover or training required.
In addition, the team completes regular Professional Development exercises during weekly meetings that are appropriate for their work.
- The Grants and Research Collaborations Section focuses on improving operational efficiency within the section. Specifically, the RACI matrix is used to clarify major tasks and the scope of work that can be done with the current number of staff.
- Clarify the scope of work that can be done with the current number of staff. The section has requested additional staff due to an increase in operational business and insufficient personpower.

【Technology Development and Innovation Center (TDIC)】

- TDIC is assessing business needs and balancing the workload of each staff member. They are in the process of hiring for vacant positions and if needed, will request additional staff.
- With regard to the need to reduce workloads and reinforce staffing levels, TDIC is working to streamline its work processes through the use of software. If the workload increases further in the future and labor shortages become more serious, TDIC will consider setting a limit on the number of new projects and tasks that can be handled.

【Financial Management (FM)】

- The division is streamlining regular operations, reviewing operations and organization as described in " (1) Business Efficiency," and bringing in personnel from other teams within the division or the section to provide support as needed (e.g., Dual appointments of Travel Expense Team staff and Assistant to the Vice President for the Financial Management; merger of the Supply Center and the Inspection Center).
- If there is a vacancy in an existing position, the job description is reviewed to ensure that it also covers the shortage, if necessary, rather than simply advertising the same job.
- The Division will work on the following:
 - Continuing to promote Robotic Process Automation (RPA) and the computerization of contracting procedures to streamline and automate normal operations to compensate for the shortage of staff.
 - Transferring staff between teams, to prevent personnel shortages within a section. ▪ Eliminating waste by simplifying accounting procedures.

【Buildings and Facilities Management (BFM)】

- BFM's requests of adding permanent positions were all approved for FY2021. Three positions have been filled by transferring temporary staff to permanent positions in the Housing Management Section. A Campus Safety Coordinator has been hired and the Assistant Manager position for the Facility Management Section is currently being advertised. The Campus Building Section is advertising a position for an MEP Coordinator, and the Facilities Operation and Use Section hired LAB Planning staff.

【Communication and Public Relations (CPR)】

- In CPR, each section is working on the initiatives described below, based on the following recognition of the VPCPR.
 - CPR needs to align with HR to ensure that offers are at the level they ought to be and are filled in a timely way.
 - COVID-19 has made hiring difficult, but the process with HR needs to be improved to be more transparent and more needs-based.
 - Bureaucratic procedures in Procurement have stagnated projects.
 - Further, CPR members openly talk about the importance of prioritizing mental and physical health, but naturally, these efforts needed be supported through action and modeled with good leadership. The management team bears the brunt of the excess workload.
- The Media Section outsources editing and press release writing when the staff is unable to meet the internal and external stakeholders' needs.
 - The Section is looking to reopen the position of Science Communication fellow to

handle the increase in content production and media relations.

- DCBD optimizes the use of Office365 and Jira to reduce time spent searching for information, improve information organization, sharing, and management in general.
DCBD hopes to start the Science Communication (Multimedia) fellow program to cover the increased demand for photo and video production.
- The Translation and Interpretation Team outsources translation and interpretation assignments when it is extremely short-staffed; the efficient work of one temporary staff member hired in FY2020 has reduced the workload of the team. As noted in the FY2020 Audit Report, the team continues to request for the temporary staff position shift to a direct hire to ensure that the team's efforts are sustainable.
- Internal made multiple offers for a current vacancy but were rejected due to misalignment with HR and COVID-19.

【Human Resource (HR)】

- HR is working to improve the job performance and productivity of existing staff through human resource development (internal appointments, training, and personnel transfers).
- In the future, each section will formulate not only work plans for individual employees but also plans for strengthening job performance (including personnel transfer plans based on individual development plans), and establish a system to regularly monitor these plans at the management level.

【University Community, Child & Youth Services (UCS)】

- Child & Youth Services balances its workload by maintaining COVID-19 precautions while prioritizing safety obligations and implementing the following:
 - Shortage of full-time staff is covered by hiring temporary staff.
 - If a classroom teacher is not available, an administrative staff member shall be assigned.
 - Only class administrative tasks are assigned to teachers.
 - New students will be admitted based on availability, taking into account the child-teacher ratio established for each class.
 - Adjust staffing shifts to ensure minimum class ratios.
 - Work closely with HR (Recruiting Section) to enhance the quality of candidates for vacant positions by clearly outlining the position in the job posting and by being directly involved in the hiring process.

HR will work on the following:

- Check salary levels for childcare workers in Okinawa to see if OIST is an employer of interest to childcare workers and to improve staff satisfaction and retention.
- Establish relationships with vocational schools that train childcare professionals.
- Consider ways to employ more native English speakers (e.g., gathering useful

information on work visas for staff).

- Consolidate classes until COVID-19 preventive measures are mitigated and share staff between classes to maximize personpower and enhance teamwork among staff.
- Improve the onboarding process for new employees, reduce turnover, and increase efficiency within the School Aged Program (SAP).
- In Recreation Services, the responsibilities of its one full-time employee are significant. Due to time constraints and other restrictions, temporary staff are unable to perform many important tasks, affecting the services they can provide to OIST members.
- Overview of the amount of work to be performed by staff (one full-time PEREX and two part-time staff) include:
 - Management and supervision of 40 club activities supporting over 400 OIST community members. Specifically, oversight of venue reservations, equipment storage, compliance with insurance guidelines required for specific clubs, risk management, and liability waivers.
 - Processing of funds through the OIST Recreation Services budget or donations in an external bank account, as needed.
 - Operation of BeActive fitness classes and management of participant registration (health promotion activities four times a week with a minimum of 12 participants).
 - Management of the external instructor programs. Currently 14 instructors are active, with 10-25 participants in each activity, with the section providing support. Tasks related to external instructor activities include creating, managing, and renewing service contracts, space allocation, websites and registration web pages for each instructor, advertising support, and registration of OIST participants.

In addition to the above duties, the full-time staff member also performs the following duties:

- Manage administrative duties and serve as a member on three committees.
- Budget management and fundraising for effective operations.
- Manage facility reservations for all OIST community members (staff, students, and their families) who need space for personal, professional, or recreational activities.
- Manage access and use of six spaces on the OIST campus.
- Review of PRP and update of Recreation Services manual.
- Complete routine maintenance of the website.

Due to this wide variety of duties, the Recreation Services is understaffed and unable to provide standard recreation services to the OIST community.

Members of the OIST community continue to request more activities that promote connection, engagement, and physical activity. The Division continues to request

additional full-time staff to meet the needs of the OIST community.

- The Resource Center has enhanced its web content to provide OIST members with easy access to resources and advice on common issues related to life in Okinawa. If the office is not adequately staffed, the Resource Center temporarily closes and users are asked to contact the office via email.
- The Language Education Section will work with HR to hire new temporary or permanent Japanese and English teachers.
- The Ganjuu Wellbeing Service has been approved for an additional clinician to provide access to mental health support for members of the OIST community and has begun recruiting personnel to staff the service as soon as possible, while taking into account current restrictions on entry into Japan.

The team also implements a tiered care approach to manage demand and clinical needs, as well as manages and supports each clinician's handling caseload to reduce clinician burnout and negative health outcomes.

Auditors' opinion

■ In response to the labor shortage, most divisions have gone beyond "proactive" to exercise their ingenuity to implement creative efforts. Some teams have even gone so far as to review job descriptions and have achieved positive results. The auditors would like to express their deep respect for these efforts.

In order for OIST to make further progress beyond the 10-year milestone, the auditors strongly hope that the divisions be rewarded for their continued efforts to devise and implement change and achieve effectiveness and results.

(3) Management of Work Progress

The management of work progress is important both to improve work efficiency and to prevent staff members from unknowingly performing unreasonable or wasteful tasks that may have an undesirable impact on both the staff members themselves and the division to which they belong. For this reason, the auditors checked the system for managing the progress of work and what action is taken in the event that work is not completed.

Many divisions mentioned understanding the current situation and sharing information in meetings. Some divisions actively used IT tools to understand, share, and manage information.

【General Counsel (GC)】

- Daily sharing and weekly meetings are held to manage progress.

【CIO and IT Division】

- Progress management using Microsoft Teams (hereinafter referred to as “Teams”), Planner, ServiceNow, etc., as follows:
 - Service Support Section: Teams is created for each project. Tasks are managed by Planner, and daily inquiries are shared by all team members using ServiceNow.
 - Network and Connectivity Section: Project plans are created in Excel for about one year from the beginning to the end of the fiscal year, and the progress of each project is tracked in weekly meetings.
 - Enterprise Technology Section: The section uses Teams, Planner, and SharePoint to manage and share information about projects. For day-to-day inquiries, ServiceNow is used to manage tickets and shared within the team.
 - Information security section: The section has created channels for each project in Teams, so that related content can be organized and completed within the channels.
- Checks with the person in charge of the project are in place to find out why progress is lagging and how it can be made up for. Projects causing delays are readjusted in light of the overall correlation.

【Provost and Research Support Division (RSD)】

- Each RSD section has end user group meetings. At the meeting, section leaders receive feedback from end users about the status of service provision. In addition, when necessary, the Provost and Assistant Provost will receive reports directly from faculty members.
- The Provost and Assistant Provost join relevant section’s regular meetings to manage the progress of work and adjust priorities and resources.

【Office of the Secretary General (SG)】

- Weekly manager meetings are held for managers to report on the progress and issues of their work and provide necessary advice. The system of each section is as follows:
 - Governmental Relations Section
 - After clarifying the division of roles (primary and secondary) within the section, the manager reports on individual work content, work speed, and progress of the staff, and all staff (three people) communicate daily and manage the progress of the section’s work.
 - Rules and Compliance Section
 - Regular section meetings are held once a week to share the contents of manager meetings, receive progress reports from those in charge, exchange opinions on business operations, and share issues and discuss solutions.
 - Internal Audit Section

Regular section meetings are held once a week to share the contents of manager meetings, receive progress reports from those in charge, exchange opinions on business operations, and share issues and discuss solutions.

- The Secretary General office deals with unexpected work, by clearly prioritizing it. Decision factors include importance, due date, workload, and coordination with other departments. If the work is not progressing as expected, the due date is extended or parallel work is stopped to concentrate on the delayed work, depending on the case. The efforts and achievements of each section are as follows:
 - Office of the Secretary General
Temporary support personnel were assigned with the vaccination at workplace scheme conducted from July to August 2021.
 - Governmental Relations Section
Assigned tasks are always progressing.
 - Rules and Compliance Section
Temporary support personnel were assigned with the vaccination at workplace scheme conducted from July to August 2021.
 - Internal Audit Section
Temporary support personnel were assigned with the vaccination at workplace scheme conducted from July to August 2021. The schedule for the internal audit plan was changed.

【Graduate School (GS)】

- The organizational structure of GS is well aligned with division business plan goals. Therefore, the manager of each section tracks the section's progress, the Vice-Dean tracks progress at the division level, and the Dean ensures that goals are aligned with executives.
- GS section managers meet with their staff frequently, weekly and monthly, to provide feedback and coordinate work.

【Faculty Affairs Office (FAO)】

- The FAO holds weekly meetings where all FAO staff participate and share the status and progress of important items. Each team utilizes group emails and online tools (SharePoint, Asana, Planner) to reduce unnecessary work.
- During the office meetings mentioned above, the DFA and the FAO Manager track the progress of work assignments. For work that is not progressing, we have discussions with the section Manager in charge about the reason for the delay or points for improvement and come up with a strategy.

【Dean of Research (DoR)】

- The Academic Partnership Team, with the help of the IT Division, began using Asana, a platform for project management and schedule sharing for symposiums and workshops. As a

result, the section is able to manage events not only within the team, but also with counterparts and other sections. This has reduced e-mail communication and has helped improve efficiency by sharing information on delayed work, so that help can be provided. The platform also facilitates teamwork, and since it is easy to see at a glance who has the most workload, the distribution of work can be done more efficiently.

On several occasions, COVID-19 forced workshops and other events to change from an on-site to a hybrid format, which hampered preparations; however, the team kept a flexible plan in place and made full use of "Asana" to handle the changes as they came up.

- The Grants and Research Collaborations Section operates by placing stakeholders in charge of each task. Managers support their staff through individual interviews and staff members prepare weekly reports that track major tasks and operations. The manager is responsible for the yearly schedule of major tasks for the section as a whole.

When delays occur, the causes are identified and staffing is temporarily increased (e.g., during periods of high workload or grant applications cycles).

【Technology Development and Innovation Center (TDIC)】

- TDIC uses the following methods to check the progress of work:
 - Project management with Asana software
 - Daily and weekly manager's meeting
 - Weekly section meetings
- The work of each section may overlap depending on the technology being handled. In the event of a delay, the manager will determine whether or not staffing or the formation of an ad-hoc team will be necessary to accomplish the work. Projects completed in FY2021 with the help of ad-hoc teams include, the Proof of Concept (POC) Program, the Startup Accelerator Program, and the OIST-Beyond Next Ventures Innovation Hub (OBI-Hub).

【Financial Management (FM)】

- Each section is composed of several teams under a manager, including a team leader to whom some authority is delegated to facilitate progress management. Meetings are frequently held not only at the section level but also at the team level to share the management of work progress.
- Currently, there have been no significant incidents of operational delays.

【Buildings and Facilities Management (BFM)】

- See “(1) Improvement of Operational Efficiency.”

【Communication and Public Relations (CPR)】

- Based on the following recognition of the VPCPR, each section is undertaking the initiatives described below:
 - Leadership meetings and one-on-one meetings with managers are held every two weeks.

- The VPCPR believes that OIST, as an organization, needs to review this culture in good faith.
- The Media Section has weekly team meetings where team members share the progress of their work. They use Excel sheets and "Trello" to track ongoing projects.
 - If work does not progress, the team manager and staff member address the situation by determining if manager intervention is necessary. For example, when a staff member was unable to meet the needs of an internal stakeholder due to a misunderstanding, the manager intervened, allowing the work to resume and be completed smoothly.
- DCBD is extending its use of the Agile Method and Jira from the web team to the entire section as an ongoing push to improve work efficiency.
 - The Manager recruits other members to help when a project is stalling and looks for unnecessary or low-priority projects to postpone or delay.
- Community Relations' work progress was managed by sharing and discussing information and events in regularly scheduled section meetings.
 - The Manager examines each task, and gives advice to staff, and if necessary, re-distributes the tasks among the members.
- The Translation and Interpretation Team meets with the VP every two weeks, in addition to the efforts for "(1) Improvement of Operational Efficiency".
 - As for the progress of the work, the team determines whether it can be completed within the deadline at the time the translation request is received. Once the team accepts a request, it always meets the deadline. Therefore, there has never been a case where the team has not been able to complete the work they have accepted.
- Internal is understaffed so the VPCPR and other team members take on extra work to support internal communications when the volume is not manageable. This can lead to overwork and is not sustainable.

【Human Resource (HR)】

- Manages business progress through weekly meetings.
- There were no delays in operations that needed to be addressed.

【University Community, Child & Youth Services (UCS)】

- Child & Youth Services:
 - Progress is monitored through team calendars and verbal confirmation.
 - Clear deadlines are set in advance, and progress is checked regularly.
 - Managers communicate regularly about ongoing projects and support each other in completing them on time.
 - If deadlines are not met, they work together to prioritize work, adjust workload as needed, and ensure completion.

- CDC class staff have monthly and weekly lesson plan submissions due and an hour each day to complete administrative tasks outside of childcare.
- The enrollment process, communication with parents, and program-related tasks are done on spreadsheets, but are not shared among the three childcare and education programs (CDC, SAP, and International Classroom). This is inefficient and could be solved by childcare software.

If work is not progressing, the following actions are taken:

- The Director, the Assistant Director and the Head of Administration at CDC meet individually with the staff member to offer support, solutions, and any necessary redelegation of duties.
 - Group leaders check with staff individually and cover classes as needed to give them time outside of childcare hours to complete additional tasks.
- Recreation Services:
 - Tracks progress by number of participants and participant satisfaction.
 - Establish section goals and future plans.
 - Review daily the progress of the goals and the plan for each task.
 - Evaluate the project or program and determine the activities the section can support, taking into account the limitations of the temporary staff.
 - Create a project outline for each team member so that progress can be tracked.
 - Record essential information.
 - Set clear deadlines.

If work has not progressed the following actions take place:

- If a situation arises that requires a decision or resolution, the director takes responsibility.
 - Tasks are assigned to appropriate staff and tracked until completion.
 - Evaluate requests for activities from the community and limit additional activities due to temporary staffing restrictions.
- The Resource Center and the Language Education Section:
 - Work progress is shared and discussed daily. Staff must fully understand their assigned tasks and are encouraged to request assistance from colleagues as needed.
 - Review at weekly meetings so that everyone is aware of the section's workload and task progress.
 - The Resource Center operates in such a way that workloads are equalized and efficiently accomplished through assistance.
 - Ganjuu Wellbeing Service:
 - Holds weekly team meetings to discuss new referrals and case assignments.
 - Implemented a stepped care approach to manage demand and number of cases handled.

- Individual meetings are held regularly with each staff member to provide clinical, administrative, and personal support.

If work has not progressed, issues related to work task delays are discussed, causes are determined, and measures are developed to mitigate the problem and complete the task.

Auditors' opinion

■ The results of the FY2021 Auditor's audit showed that many divisions are actively using IT tools, not just to understand, share, and manage information, but also to respond flexibly to changes and modifications, to improve operational efficiency, and to solve personpower shortages. When combined with the results of the FY2020 Auditor's audit, only a very limited number of divisions showed no evidence of using IT tools.

For a very small team that can easily share necessary information, it would be a mistake to spend unnecessary effort to use IT tools, but for others such as these, effective use of IT tools is desirable.

(4) Management of Budget Execution

Budget execution management is critical to the proper execution of the budget in a given fiscal year. The auditors reviewed the status and prospects of each division's budget execution management for FY2021, as well as areas for improvement in execution management.

Even under the pandemic that continued into FY2021, no problems were found in the budget execution and management.

However, some divisions mentioned budget execution from sources other than subsidies and multi-year budget management.

【General Counsel (GC)】

- External legal fees are largely dependent on the occurrence of disputes and the development of litigation, which can be out of GC's controls and difficult to predict; however, other items are well within budget.

【CIO and IT Division】

- After the FY2021 Year-End Review, the IT Division submitted the budget execution status to the budget section on December 24, 2021, with CAPEX at 93% and OPEX at 95%.
- There is nothing in particular that can be improved in the execution management, as it is appropriately reviewed at each review such as the Year-End Review.

【Provost and Research Support Division (RSD)】

- It will be fully executed.

- Budget allocation from the Cabinet Office was partially on hold in connection with faculty recruitment status. If the budget is allocated upfront at the beginning of the fiscal year, the division can execute them more effectively and wisely.

【Office of the Secretary General (SG)】

- The size of the budget is relatively small and execution management is precise. The budget execution status as submitted to the budget section on December 21, 2021 after the FY21 Year-End Review, and the remaining amount has been returned.

【Graduate School (GS)】

- GS has a division budget analyst who coordinates all section managers' budget execution. GS is managing FY2021 budget well.
- A vast majority of GS budget is financial support for students. What OIST offers for its PhD students as their financial package needs to be considered with potential impact on OIST reputation and future student recruitment. Therefore, GS budget needs to be managed very carefully.

【Faculty Affairs Office (FAO)】

- As of the end of December 2020, the FAO budget execution rate was 85%. With pandemic-related travel delays, and faculty candidates and reviewers unable to enter Japan, and a large portion of the budget was unused. By having timely budget reviews every quarter, FAO was able to return some of the surplus to the central budget in addition to reallocating some funds to other FAO teams. FAO has proactively stayed up-to-date with any updates on Japan entry restrictions and their budget is adjusted accordingly.
- Due to the uncertainties brought on by the pandemic it is not possible to look ahead clearly; once the pandemic ebbs, FAO will create more specific plans.

【Dean of Research (DoR)】

- The Academic Partnership Team plans to execute almost as planned after the midyear budget revision. However, due to the increase in the number of new COVID-19 infections in Okinawa in 2022, the budget for the event scheduled for the end of January could go unexecuted if the event was changed to an online event.

One possible improvement in execution management would be to make it possible to execute the budget from sources other than subsidies, such as external funds, to avoid waste, as it is difficult to manage the budget for events depending on COVID-19 countermeasure.

- The Grants and Research Collaborations Section conducted a midyear review of their execution status. The budget manager in the Office of the Provost increases the number of shortfalls and decreases the number of expected surpluses, thereby ensuring appropriate management.

Possible improvements in execution management would be to conduct similar midterm reviews and reallocations if it is not done in other sections, and to remind each manager to be

mindful of appropriate budget execution.

【Technology Development and Innovation Center (TDIC)】

- Several times a year, TDIC works with the budget section to review budget execution. This opportunity for analysis allows TDIC to avoid situations in which the budget is either significantly over or under budget, and to manage the budget appropriately.
- In terms of execution management, as an area that could be improved, TDIC believes that budget execution would be improved if it were possible to manage budgets on a multi-year basis for project planning purposes.

【Financial Management (FM)】

- The budget allocated to the division will be reviewed in September and December. All will be executed.
- There is nothing that can be improved in execution management.

【Buildings and Facilities Management (BFM)】

- The budget execution status and forecast are periodically reviewed in the Mid-term Review and Year-end Review, and information is shared, and budget transfers are implemented between sections or divisions according to requirements and other circumstances.
- In addition to the Section Managers who manage the budgets of each section, BFM has established a Facilities Budget and Contract Management Section (formerly a team) consisting of three staff members who manage the overall budget of the section and coordinate among the sections. In line with this change, BFM will continue to streamline its operations, such as the budget execution management and the contact point for processing related payment requests, as well as areas that can be integrated into the new section from the perspective of governance.

【Communication and Public Relations (CPR)】

- CPR reexamined its plans in the wake of the pandemic and reduced the budgets of several programs by leveraging external funding from the Okinawa Prefectural Government and the OIST Foundation; the FY2021 budget is executable as per the revised plan.
- Areas for improvement in budget execution management include:
 - Clearer rules (some are contradictory)
 - Rules that are more accommodating to the real world (i.e., travel rules and allowances)
 - Rules that allow for new expenses in the time of COVID
 - Rules that allow for common-sense and efficient operations (i.e., if the money is there, use it and transfer it as needed afterwards)

【Human Resource (HR)】

- The estimated execution rate is 98% (estimated execution of 149 million yen compared to a budget of 152 million yen).
- One area that could be improved in budget execution management is the implementation of a

process to identify "areas of cost reduction and areas of investment" based on the overall university strategy.

【University Community, Child & Youth Services (UCS)】

- As of December 20, 2021, the budget execution rate was 26%; through the Year-End Review, 11 million yen will be returned, and the remaining 10 million yen will be executed in the fourth quarter. Factors for the delay in budget execution are as follows:
 - Delay in hiring temporary staff (-6.1 million yen)
 - Travel related to COVID19 (-3.6 million yen).

Excluding these two items, the budget execution rate is 56%.

- In general, the UCS budget is sufficient for day-to-day operations, but insufficient to fulfill the mission of UCS. This is because UCS activities are determined to be outside the scope of the operating grants, which prevents UCS from having the budgetary discretion to fulfill its mission. The division recognizes that the services provided by the Recreation Services are reasonable activities that are directly tied to OIST's core values and the Strategic Plan, and are consistent with key guidance, such as those related to health, safety, and education (the Ministry of Education, Culture, Sports, Science and Technology (MEXT) guidelines, Industrial Safety and Health Act).

In terms of budget execution management, areas where improvements can be made include: Allowing UCS discretionary budget execution to carry out its work to fulfill the department's mission in light of OIST's strategic values, MEXT guidelines and Japan's Industrial Safety and Health Act, particularly as it relates to activities under UCS's operational mission. UCS shall strive to establish and maintain an inclusive culture that provides equitable opportunities and services to all members of the University community from diverse backgrounds. The division also provides services, programs, common experiences, and a unified identity that contributes to a vibrant OIST community.

Auditors' opinion

- The university's budget execution and management is functioning adequately under the current framework, even during the pandemic that continued into 2021.

Some divisions, however, mentioned budget execution from sources other than grants and multi-year budget management, which should be continued to be considered and addressed.

(5) Coordination among Divisions

As the size of OIST is expanding, interdivisional coordination has become ever more important.

To ascertain the status of internal coordination, the Auditors reviewed some cases of

interdivisional coordination which were deemed to be "good" or "not good".

While generally judged as "good," there were several cases mentioned later in this report.

【General Counsel (GC)】

- No problem was identified, but it would be good to have regular meetings with HR, FAO, and CPR.

【CIO and IT Division (IT)】

- IT must collaborate and coordinate with the other divisions. The following four cases are worth mentioning in FY2021.
 - ① Collaborating with OHS, the application sites for the PCR test and COVID-19 vaccination were developed by the vendor on the OIST website as planned, despite the short delivery time.
 - ② Work has been in progress with OHS to improve the system for expanded use of the OHS key management box. This system is expected to significantly reduce the OHS's administrative and operational staff hours, improving the user convenience.
 - ③ Until FY2020, GS had been managing the personal computers (PC) for students, but since April 2021, all PC-related matters, including the budget, have been transferred to IT. Currently, PC management has been smoothly conducted.
 - ④ Since October 2021, BFM's inquiry system was revamped and transferred to ServiceNow, which is the same system used in IT. This has made it possible to visualize the services provided by BFM to the entire OIST community, improving the user convenience. In addition, by shifting from the traditional work style of "search and reply to the inquiry emails in the mailbox" to "ticket management", a unified communication management has been realized.
- In the GS-introduced Open Campus system, due to the lack of resources in IT, a project manager could not be appointed. As a result, there are still some areas for improvement with vendor control and project management.

【Provost and Research Support Division (RSD) 】

- As for the worksite COVID-19 vaccination support, with the help of Office of the Secretary General, many administrative staff members in other divisions helped with logistics at the vaccination site. With this, the two vaccination sessions were smoothly conducted.
 - On TDIC's external call for applications to their programs, the granted members are given access to "OIST's cutting edge equipment". However, certain equipment does not have much open time available due to OIST internal users. Accordingly, there should be some improvement in the detailed coordination with TDIC. In the past, at regular meetings where all RSD section leaders joined, there were two occasions where TDIC programs were explained, but more communication will be necessary in the future.

【Secretary General (SG)】

- The established team to facilitate administrative information sharing in the Governmental Relations Section has been functioning well.
- A multiple number of divisions used to concurrently respond to the same inquiries from the Cabinet Office. To eliminate such redundancies, a university-wide team for governmental affairs has been established for government-related administration.
- The following is the list of adjustments made by the SG in FY2021, which were identified as significant.
 - To prepare the business plan for the FY2022, based on the FY 2021 review, detailed explanation on the basic policies and written guidelines were made to each executive member and section chief in charge. Up until FY2021, the communication used to be only one-way with business plan preparation requests sent via e-mail. This fiscal year, however, briefing sessions via Zoom before the initiation of each preparatory work has been held with a series of question-and-answer sessions, which enabled the SG to initiate the work after all the concerned parties had shared the mutual understanding. Accordingly, the SG was able to create a timely draft business plan without any drastic modifications. The SG plans to use the same method to productively prepare the business plan for the next fiscal year, too.
 - In the course of the general inspection of the PRP, staff members from each division were convened and briefed on the objectives and work policies, which led to a common understanding and work progress.
 - In August 2021, the managers' committee meeting, which had become a mere information sharing forum, was cancelled and instead, a new style of meeting with core working team was established with carefully selected staff members in September 2021.
 - To enable the BAIN project recommendations to be promoted as the core team's activities, the project and activity results have been linked since November 2021, and the detailed activities had been supported from December 2021 to March 2022.

【Graduate School (GS)】

- Significant improvements were made for communication and coordination with GS stakeholders, students and faculty. Although GS is not problem free, the issues are now able to be discussed together through some communication channels.
- At the end of year 2021, OIST decided to transfer the responsibilities of student housing management from GS to BFM. This decision was mutually agreed by GS and BFM (at time of the former VPBFM), and this migration of responsibility was accompanied by one PEREX staff transferring from GS to BFM. However, the process has not been completed after the new VPBFM came to OIST. To facilitate this transition, a BFM-GS liaison committee for student housing matters was established.

【Faculty Affairs Office (FAO)】

- This year, C-Hub and GS jointly held the first "Responsible Research Conduct" workshop for students. This was a valuable opportunity for C-Hub to form personal connections and for the students to learn from each other, which will serve as a foundation for researchers' future workshops.
- Open Researcher and Contributor ID has successfully been implemented throughout the entirety of OIST through coordinated efforts with IT, HR and GS. OIST researchers and students are now able to add professional and organizational information to their profiles to be used for their future publications with more credibility.
- As for areas of improvement, FAO continues to discuss individual-related matters with the VPHR in weekly meetings, and a gradual build-up of trust with HR is expected.

【Dean of Research (DoR)】

- RIKEN is an important institutional counterpart of OIST collaboration, and the Academic Partnership Team will be responsible for essential interdivisional coordination of FAO, GS and DoR. Four or five times in a year, the agenda have been shared with the relevant divisions at regular meetings attended by senior executives from both OIST and RIKEN. Each case of coordination with RIKEN has been enhanced through various efforts. Requests were made for the required meeting attendees at the staff level, and meeting minutes were shared with all relevant divisions, while each meeting was set up by RIKEN staff to discuss certain matters.
- As for potential areas for improvement, the Grants and Research Collaborations Section has not carried out any new form of coordination with Graduate School in FY2021. However, considering the low adoption rate of JSPS Research Fellowship under the responsibility of Graduate School, some consultation was provided by the Grants and Research Collaborations Section. Currently, potential future coordination with other division is under consideration.

【Technology Development and Innovation Center (TDIC)】

- The following are three examples of successful collaboration between TDIC and the other divisions:
 - ① Collaboration between TDIC and the President's Office on the concept of OIST venture capital fund creation
 - ② Collaboration between TDIC and BFM on the incubator facility operation
 - ③ Collaboration between TDIC and Graduate School on "Introduction to Intellectual Property Seminar" for first-year graduate students.
- As for potential improvement, there were no specific cases in FY2021 that required improvement in collaboration with the other divisions.

【Financial Management (FM)】

- After the coordinated efforts with BFM to strengthen the internal controls, all the contract

resolutions for the construction work have been transferred to be approved by the Procurement Section manager (beginning November 1, 2021).

- In case of the asset change application described in "(1) Improvement of operational efficiency", coordinated efforts were made with IT and RSD. As a result, the document flows and formats have been aligned.
- As for the explanation on the budget request to the Cabinet Office, collaborative efforts were made between the TDIC Business Development Section and the Grants and Research Collaborations Section.
- As for potential improvements, cooperation by IT is indispensable for streamlining the existing operations with the use of more information technologies. However, due to circumstances on the part of IT, delays in progress sometimes occurred.

【Buildings and Facilities Management (BFM)】

- Space allocation requests by some researchers and administrative sections were discussed in the Space Allocation Committee so that comprehensive decisions could be made jointly with FAO, the Provost Office, and BFM. Some detailed discussions have been conducted on the allocation of Lab 5, which is currently under construction since its design phase.
- As for the potential improvement, there is no major communication issue.

【Communication and Public Relations (CPR)】

- The VPCPR has been making a concerted efforts to communicate with fellow executives to encourage a culture of collaboration and work across silos. Stressing the importance and expectation of cross-sectional cooperation and collaboration is regularly discussed in CPR.

As for what could be improved, the VPCPR believes that as a support function and one that serves the whole organization, CPR needs to always be making proactive and genuine efforts to coordinate and collaborate across divisions.

- The Media Section's design staff often collaborates with other divisions. In FY2021, the in-house designer created posters/flyers/brochures/figures/presentations with about 20 different divisions and units. The writers also successfully completed their articles with cooperation from Units members including faculty and research support staff.
- DCBD has the following examples:
 - ① The 10th anniversary exhibition "OIST Images of Science" was done by recruiting images from research units and working with them to decide titles, descriptions, and modifications to the images. The team then worked with BFM to modify the tunnel to make this and subsequent exhibitions easier, by rethinking the way that frames are mounted on the curved wall and by adding gallery rails to the flat wall.
 - ② DCBD worked closely with TDIC on several campaigns, including paid advertising for their accelerator programs. The team helped them setup LinkedIn and Twitter

accounts, update their website, and made promotional videos for the YouTube campaign.

- ③ The designer has also worked with researchers on scientific illustrations that require skills with 3D modeling file formats and editing.

As for what could be improved, OIST needs an institution-wide Digital Asset Management (DAM) system to store and share multimedia files between divisions and to distribute to outside parties. OIST also needs an institution-wide online payment gateway that will allow teams like conference and workshop and CDC to take online payments. Both of these are needed by multiple divisions and should be managed centrally by IT. DCBD has gathered input from other sections and proposed these projects to IT, but high turnover in management makes it difficult to move forward.

- CR is sharing information on outreach programs with GS regularly, and conducted outreach surveys and information sessions for OIST staff to share information and achieve understanding and support from the staff. Yo-Yo Ma's visit, which was implemented in very short order, included collaboration with several research units, workshops, BFM, and others.

As for improvements, CR will be working even more closely with GS to ensure the team is capturing the best outreach opportunities possible and executing them as efficiently as possible. Issues on phone inquiries from the public should be improved, CR is working with IT and President Office. This issue was reported in the FY2020 audit but the department was unable to make progress.

- The Translation and Interpretation Team provides services to the entire university. Due to an overload of translation work, the team introduced the "Deep L" translation software to other sections through IT. In general, a significant percentage of translation and interpretation requests come from divisions other than CPR. Most of the translations are delivered within 24 hours.

【Human Resource (HR)】

- The establishment of a cross-divisional project team with the main objective of talent management based on the Secretary General's lead is a good example. In addition, HR collaborated with the relevant sections to intervene and resolve labor issues at an early stage.
- Regarding room for improvement, HR has requested for the appointment for HR Business Partners who will be responsible for comprehensively resolving organizational issues. In addition, HR would like to hold regular meetings with FAO, GS, the Health Center, and OHS respectively to identify and address projects that need to be worked on in collaboration.

【University Community, Child & Youth Services (UCS)】

- Examples of coordination and collaboration in Child and Youth Services are as follows:
 - Together with BFM staff, the children built small "houses" decorated with moss, sticks,

- and mud and installed them in new residential areas as "insect hotels. (SDGs Project)
- The children, along with OIST PhD students, participated in the “Honeybees help save Okinawan coral?” project to train experts in the field. (SDGs project)
 - In collaboration with BFM, an art exhibition at the Center Building was held. The project focused on creative artistic expression using various products found in nature, recycled products, and reused products. UCS also worked with CPR on this event. (SDGs Project)
 - UCS coordinated defensive training with the Bosai Center, and specialized instructors to resolve issues with the CDC facility parking lot.
 - Ganjuu Wellbeing Service's expertise was utilized in the "Self-Compassion for Educators" seminar.
 - UCS worked with HR to organize local employment promotion events and improve employment contracts and job descriptions to clarify working conditions and responsibilities, which, in fact, led to local hiring. Supported the piloting of several software solutions related to time and staff management.
 - Worked with OHS to communicate with parents about child safety in and around the experimental areas.
 - UCS worked with university members to update and publish information on international school options for OIST families.
 - UCS received assistance from IT to install computers to streamline and customize the English classes offered to children in the International Classroom.
 - Work related to enrollment procedures, communication with parents, and program operations is done on Excel spreadsheets, but is not shared among the three childcare and education programs (CDC, SAP, and International Classroom). These inefficiencies could be significantly reduced by adopting a new software solution specifically created to manage the childcare program; CDC management will evaluate and select new software programs to improve daily operations and secure funding to purchase new systems. They also request the assistance of IT to complete the procurement process.
- Examples of coordination and collaboration at Recreation Services are as follows:
 - Coordinated weekly with OHS to improve operational efficiency and consistency of information among all stakeholders and users of the various facilities.
 - Consistent cooperation between GS, the Rules and Compliance Section, and Recreation Services ensured that documents were current and that the services remained compliant and support the OIST community.
 - Coordinated with HR to add specific Recreation Services-supported activities for OIST faculty and staff to the required 40-hour professional development goal.

- In conjunction with GS, one of the specific education courses offered through Recreation Services can be applied as a Professional Development elective.
- An example of coordination and collaboration at the Resource Center is as follows:
 - Maintained ongoing collaboration with other divisions to ensure that the services provided adequately address the needs of the OIST community.
- Examples of coordination and collaboration in the Language Education Section are as follows:
 - Worked with the CR to provide tailor-made English training for Onna Village Office staff and the SCORE program.
 - Worked with GS on the Science Challenge and provided meaningful programs for professional development.
- Examples of coordination and collaboration in Ganjuu Wellbeing Services are as follows:
 - Regular family work meetings are held at OIST to bring together individuals and teams that support the families of community members. (e.g. New Parents Support)
 - Met regularly with the Student Council and ORC to assist in the construction and anonymization of the biennial survey data. Worked with the Student Council on a variety of issues, including mental health and diversity workshops.
 - Since last year, regular workshops have been held for GS staff to provide supportive strategies to help students and staff develop healthy relationships and manage stress productively.
- Examples of coordination and collaboration in food services are as follows:
 - Works with the Procurement Section and the General Counsel Office to prepare bids and contracts.
 - Continued to communicate with Provost and ERC regarding the provision of safe services during the spread of the COVID-19 infection.
 - The team and the Budget Section are developing procedures for the use of other financial resources to cover kitchen equipment repair and maintenance costs for the cafe and the restaurant.
- With regard to room for improvement, the current personnel evaluation process at CDC/SAP is not a supervisory best practice; the application of the OIST evaluation system at CDC/SAP is not consistent with the actual job accountabilities and responsibilities of the CDC/SAP staff. Although defined as non-supervisors, the group leaders have day-to-day responsibilities that include all aspects of child-care and staff supervision in multiple classrooms, including interaction with parents and coordination with other CDC staff. Based on these considerations, a possible solution is that the HR evaluation system needs to be flexible enough to allow the department to properly match staff within the

department to their job responsibilities and to ensure that all staff within OIST receive performance appraisal feedback from their most direct supervisor. The current evaluation system at CDC/SAP requires one supervisor to be the primary evaluator of more than sixty employees. This is a significant departure from the industry best practice of 1:7. This issue has been raised with HR, but there seems to be resistance to exploring ways to more effectively coordinate CDC/SAP's staffing in order to lead to staff development, wellbeing, and reasonable distribution of supervisory duties.

Auditors' opinion

- Coordination/collaboration is generally judged to have been successful.

On the other hand, some divisions referred to the future. In a sense, it is natural that as coordination and relationships deepen, issues that did not exist before will emerge, and further progress in coordination and collaboration is expected.

However, there were some cases where lack of human resources created room for improvement in coordination and collaboration, and a serious review is desirable to determine once again whether personnel are being allocated where they are needed.

(6) Improvement of Work Environment

As a more comfortable work environment will motivate employees and become a foundation for OIST's significant future development, the Auditors checked the efforts made in FY2021 including use of paid leave, childcare leave, and nursing care leave.

The use of paid leave was judged to be generally satisfactory, with some divisions continuing to implement efforts (e.g., supervisors' encouragement of taking leaves). In addition, OIST has been making efforts to inform employees about childcare leave and family care leave, etc. However, there were some divisions facing continued challenges.

【General Counsel (GC)】

- GC allows work from home when necessary. GC also has a dinner meeting at least once every six months.

【CIO and IT Division】

- Staff morale initially went down due to the repeated changes of the CIO, prompting the HR Labor Relations Section Manager to conduct one-on-one interviews with all IT staff, including temporary staff members, to allow for everyone's voice to be heard. As a result, with the support of the SG, organizational and individual problems were worked out and addressed in the HR business plan as its short-term and long-term improvement measures.
- Due to the influences of COVID-19, the number of employees taking a long leave has

decreased. IT staff can take their leaves at the times they wish while adjusting their work.

【Provost and Research Support Division (RSD)】

- Use of the existing leave mechanism has been promoted as before.
 - Employees are utilizing leaves, such as maternity leave, shorter hours for childcare, and child nursing leave. There is no specific area for improvement in the mechanism itself.

【Secretary General (SG)】

- SG encouraged HR to issue certificates of appreciation to employees who have worked hard on the COVID-19 vaccination.
- All employees of SG office had no problem taking the obligatory five days of paid leave, and each employee took the leave sufficiently with appropriate life-work balance. There is no specific item for improvement.

【Graduate School (GS)】

- Monthly GS divisional meetings were held for information sharing and team building with a quick exercise each time to engage everyone. The meetings helped the employees to get to know each other in informal ways. In addition, opportunities were provided to create a comfortable work environment for everyone. For instance, at a recent GS divisional retreat, a guest speaker on diversity, equity, and inclusion was invited. Professional development has also been strongly encouraged and implemented for the employees based on the individual professional development plans as well as through the division-wide workshops.
- Various types of leaves were utilized by employees as needed.

【Faculty Affairs Office (FAO)】

- For the last few years, all FAO employees' summer and winter vacation plans were shared for better coordination when facilitating taking paid leave. This has been helpful for the employees when planning holidays and taking unexpected leaves of absence.
- Efforts are being made to create an environment where employees on leave, including long-term sick leave, are promptly supported by others. In the case of long-term sick leave, through the work from home policy or reduced hour options, flexible solutions have been provided until the employees can fully come back to their workplace.

【Dean of Research (DoR)】

- In the Academic Partnership Team, temporary employees were entrusted with important tasks such as selecting tutorial videos for improving operational efficiency and comparing online conference platforms to create an environment of opinion-sharing. As in previous years, there is no physical DoR office, leaving administrative staff and external partnership coordinators with desks in separate buildings. Despite the challenging working environment, close communications have been maintained by utilizing platforms such as "Teams".

Both external partnership coordinators (full-time employees) and temporary staff members can use their childcare leave and nursing care leave without issue.

- In the Grants and Research Collaborations Section, the manager conducted five seminars on practical skills for new employees, including one related to communication problems based on misunderstood assumptions. In addition, opportunities were provided for new employees to communicate if there were any difficulties in the workplace.

There is currently one staff member on childcare leave. Prior to their maternity leave, DoR held an interview to confirm their work progress to date and provide advice for how to cope with changes after giving birth. In addition, managers actively took their paid leave to encourage the same to staff. All the staff are scheduled to take a minimum of five days of annual paid leave.

【Technology Development and Innovation Center (TDIC)】

- To create a comfortable work environment, TDIC encourages staff to take their paid leave, parental leave and other leaves.
- All TDIC staff took their required leaves; staff with children made good use of the leave system including childcare and maternity leaves.
- Areas for improvement include a new regulation to allow employees to work from home.

【Financial Management (FM)】

- Weekly division meetings are held to share information, and since FY2021, the number of participants has expanded to include team leaders as well as assistant managers.
- Section meetings are held regularly to share contents of division meetings and cross-divisional issue awareness in each section. In addition, frequent team meetings were held to improve communication within the teams.
- To support employees who are willing to broaden the scope of their work, an open call for inter-divisional transfers was made (there were no applicants this fiscal year).
- OIST is considered to have a well-developed leave system.
 - Employees who took childcare leave (including planned leaves): 3
 - Employees with shorter hours due to childcare: 3
 - Employees who took child nursery leave: 12

A total of 47 days of leaves were utilized.

【Buildings and Facilities Management (BFM)】

- Each month, staff members are asked to propose an "innovation idea," and the winning proposal is presented with an award by the VPBFM. This practice has increased staff motivation.
- Benefits such as paid leave, childcare leave, etc., are not specific to some divisions and are part of the general policy of OIST. All BFM employees are encouraged to take full benefits

and leaves.

【Communication and Public Relations Division (CPR)】

- Latest leadership outlook and expectations are practiced by the VPCPR. For instance, training and career development is discussed as a means of investment for human resources.
- In Media Relations Section, one-on-one meetings were held to communicate issues and concerns. In addition, opportunities were created to have constructive feedback on each project.
- In DCBD Section, a high priority was placed on work tools and ergonomics. One CPR web developer has currently been diagnosed with a back problem, and because it would take weeks to get a standing-type desk through OIST's procurement, the section budget was used to enable him to stand up or sit down during his work as needed. DCBD also holds a 4:00 pm teatime every day for all the CPR members besides maintaining the CPR coffee machine, as a form of relationship building.
- All employees take their leaves properly. If they are sick or have any symptoms, they are encouraged to stay home instead of coming to work. Long-term productivity of staff is most important for business continuity.
- Working from home option should be considered as needed, since this would best support the staff and CPR operations.

【Human Resource (HR)】

- HR believes that OIST should clearly define the mandatory outputs for the entire organization, and evaluation should be made. HR's aim should not be limited to only providing a good place to work, but instead, for providing staff a sense of job satisfaction.
 - Percentage of paid leaves taken: 35%
 - Summer vacation: 96%
 - Shorter hour workers: two
 - Maternity and childcare leave: none at present

【University Community, Child & Youth Service (UCS)】

- UCS provides the following training and internal communication:
 - A formal onboarding process is conducted for new staff by group leaders and CDC Deputy Director.
 - CDC and SAP teachers participate in the Parent/Teacher Association as members. Teachers are able to share their concerns with the CDC Steering Committee (CDC Director, CDC Assistant Director, SAP Assistant Director and Child Development Center Head of Administration). The concerns discussed at CDC are reviewed by the VPUCS's staff to determine how to address them. The staff receive feedback on the decisions made to address any problem or concern.

- Both CDC and SAP staff meet regularly to ensure that information is effectively disseminated between the staff and superiors. The meetings include addressing issues that require staff cooperation as well as purchasing or obtaining sufficient supplies.
- All staff take PCR tests on a regular basis. To reduce cross-infection of COVID-19 among the classes, teachers are always assigned to the same class.
- Appropriate professional development programs are available in the online portal.

In addition, external communication includes the following:

- Keep the lines of communication open among staff to ensure that all programs are effectively addressing the concerns of children and parents.
- An orientation session for parents is held at the beginning of the year. The agenda includes CDC program, general daily operations, and CDC emergency procedures. Parents' concerns and questions were also heard. This orientation session is important for both the parents and staff to build a positive relationship and reduce the possibility of misunderstanding.
- The Education Coordinator has installed computers and age-appropriate software in the new classrooms for student-centered learning. This new equipment not only reduced paper waste, but also allowed for tailoring the instructional contents according to the students' learning abilities and interests. This has significantly improved the staff's working conditions and the students' performance.
- Recreation Services provides the following:
 - Section goals are developed in line with UCS and OIST goals, and each staff member sets individual goals based on the assigned tasks. The status of section goals is frequently evaluated, and the activities are reviewed, as necessary.
 - The Recreation Services established a work environment, where staff's wellbeing is supported through encouraging open and frank discussions to address workplace concerns. Opportunities are promoted for staff to participate in community engagement activities. In addition, extra hours are intentionally allocated for staff to engage in professional development.
- The Resource Center provides the following:
 - Regular meetings are held within the section to share general information relevant to the workplace. These meetings also facilitate discussion of staff's concerns and challenges.
 - The Resource Center discusses problems together, develops strategies for problem solving, and makes every effort to improve the relationships within the team and with other sections.
- The Language Education Section conducts the following:

- During the transition period between online and face-to-face classes, the staff took PCR tests every other week.
- Additional equipment was installed to ensure the safety of students and teachers when conducting face-to-face language classes during the COVID-19 pandemic.
- As for paid leaves, the CDC Director closely monitors their staff to ensure that leaves are taken appropriately, with particular attention to the five-day paid leave requirement. By the end of the current fiscal year, seven staff members have confirmed their plans to take the mandatory leave.
- The leaves status at the CDC for FY2021 is as follows:
 - Childcare leave: six
 - Maternity leave: two
 - Childcare and nursing care leave: one
 - Shorter working hours (childcare): four
 - Parental recess: one
 - Sick leave: four
- Areas for improvement include the following:
 - Consideration should be made on limiting the use of shorter working hours (for children under 3 years of age) to one parent when both parents work in the same section.
 - More concise rules and requirements should be made for categories of leaves and shorter working hours so that the staff and supervisors understand their rights and limitations more clearly.

Auditors' Opinions

■ Overall, use of paid leave is good; however, only some divisions are making efforts (e.g., superior's encouragement) on staff to take paid leaves. In fact, the status is judged as "good" only because of such supervisors' specific efforts.

The mechanism of childcare leave and nursing care leave have been disseminated to almost all OIST employees, and those who wish to take the leaves are able to do so.

However, the Auditors would like to point out that an opinion was shared as for the execution of the mechanisms of leaves at the Auditors' hearings, including, "The application of the current leave system may be too prescriptive."

As for "creation of a comfortable work environment," some divisions have physical location issues (Ex. another division's space is allocated for temporary staff, etc.), and there are some divisions that need new regulation allowing staff to work from home. This work location issue could lead to a safety issue, which is expected to be handled appropriately.

(7) Anti-harassment Measures

The importance of anti-harassment measures is strongly recognized at OIST, and various measures have been taken for some time. The Auditors checked whether any unique countermeasures have been taken in each division.

Although there are several divisions that conform to OIST measures without taking any division-specific measures, they were sincere in their attempts to address any related issues.

【General Counsel Office (GC)】

- Mutual respect and communication have been in place.

【CIO and IT Division (IT)】

- Countermeasures unique to IT were conducted. One-on-one interviews with all IT staff were conducted by the Labor Relations Section Manager in HR and an external attorney.

【Provost and Research Support Division (RSD) 】

- There are no unique countermeasures. However, if there is any statement or action that requires attention, such cases are shared.

【Secretary General (SG)】

- No independent measures have been taken in SG. Attention is raised at weekly manager-level meetings.

【Graduate School (GS)】

- GS follows the OIST harassment report and resolution protocols. GS is also responsible for management of any student-involved claims

【Faculty Affairs Office (FAO)】

- Efforts are made to stop power harassment as well as sexual harassment by creating professional human relations with mutual respect and an open-minded environment. During daily and weekly FAO meetings, each person is given a chance to talk about work or a specific subject.

【Dean of Research (DoR)】

- The Grants and Research Collaborations Section does not have its own initiatives, but the manager has been learning as many as possible through reading related articles online.

【Technology Development and Innovation Center (TDIC)】

- TDIC has no independent measures but adheres to the OIST guidelines on harassment.

【Financial Management (FM)】

- When there is any information indicating signs of harassment, FM is aware of the need for immediate consultation with the VPFM followed by appropriate intervention.

【Buildings and Facilities Management (BFM)】

- At the divisional level, BFM has been doing all it can to prevent any harassment.

【Communication and Public Relations Division (CPR)】

- Compliance with OIST policies and procedures are observed.

【Human Resource (HR)】

- Although HR does not have its own anti-harassment measures, HR oversees OIST's mandatory training programs, encourages information sharing and self-learning.

【University Community, Child & Youth Service (UCS)】

- To foster and maintain a work environment where all employees respect each other, UCS has established the following specific guidelines for action.
 - 1) Ensure that all staff members feel respected by their colleagues and supervisors.
Example: Ensure that communications regarding personal matters are handled with the utmost care and attention according to each staff member's situation.
 - 2) Ensure that all staff members feel a sense of belonging to their workplace.
Example: Encourage staff to address concerns in a timely manner.
 - 3) Ensure that all staff members can contribute in a meaningful way both in their sections and in UCS.
Example: Service operation working staff are delegated to address any issues that may arise when assisting OIST members who use any service within the facility or the USC portfolio.
 - 4) Ensure that all staff members are given a fair opportunity to achieve their career goals.
Example: Encourage each staff to participate in professional development and seminars that foster effective workplace communication skills.

Auditors' Opinion

- OIST continues to demonstrate a sincere attitude of actions by superiors, including division heads.

Due to its nature, harassment is something that many would feel uncomfortable for bringing up. While clear consideration was found to have been given in some divisions, the Auditors believe that such practice of consideration should continuously be given in all divisions.

(8) Training Programs

The University has mandatory training programs with various perspectives. (Among them, the information security relation training is to be described in the next section.) Auditors checked participation rates of staff in each division and what efforts were made to maintain and improve these rates.

All divisions achieved 100% or are expected to achieve 100% by the end of the fiscal year.

As for efforts to maintain and improve the attendance rates, besides individual staff encouragement by division managers including the VPs, use of attendance data was confirmed in some divisions to proactively and continuously encourage attendance.

【General Counsel (GC)】

- GC recognizes that training is a self-imposed responsibility, as everyone in the office is regarded as a professional. In addition, GC actively supports staff in taking any training they wish.

【CIO and IT Division】

- The completion rate of mandatory training in FY21 was 100%, except for General Waste Management Training, which was newly added in December 2021.

【Provost and Research Support Division (RSD) 】

- RSD annual aim at reaching a 100% completion rate by the end of May, was achieved in FY2021.
- Participation rates are shared at section leaders' meetings, and those who have not completed are reminded.

【Secretary General (SG)】

- The completion rate of the mandatory trainings in FY2021 was 100%.
- Each manager in SG periodically checks the completion rate on eFront before the due date (approximately one month after the beginning of the new fiscal year) and reports findings to all managers in each section.
- If there were those who did not complete the courses, ① the name of the staff member and ② the name of the uncompleted trainings was reported to the applicable section manager.

【Graduate School (GS)】

- As for eFront training, the participation rate was 100%.

【Faculty Affairs Office (FAO)】

- The staff's attendance was encouraged at weekly meetings and when the participation rate is low for certain staff, their progress was followed up. At the beginning of January 2022, the overall FAO participation rate was 96%.

【Dean of Research (DoR)】

- The Academic Partnership Team has completed all required training and utilized the LinkedIn's Learning system.

- In the Grants and Research Collaborations Section, all the six permanent and two temporary staff members have completed the required training programs.

【Technology Development and Innovation Center (TDIC)】

- In FY2021, the percentage of TDIC staff attending the required training was very high. The Executive Vice President for TDIC encourages the staff to take these courses on case-by-case basis, helping to maintain a high participation rate.

【Financial Management (FM)】

- The attendance rate of mandatory training is 100%. The section leaders reminded staff to take the required training at section meetings.

【Buildings and Facilities Management (BFM)】

- BFM staff were regularly reminded to take the training courses. As a result, all staff completed them.

【Communication and Public Relations (CPR)】

- All members completed the mandatory trainings, and CPR members are encouraged to continuously take LinkedIn trainings to keep up with changes in technology or other fields. In building a culture of lifelong learning and continuous improvement, CPR staff are encouraged to participate in both internal and external training opportunities.

【Human Resource (HR)】

- 100% attendance rate was achieved.
- From the next fiscal year, all staff will be required to prepare a job performance enhancement plan along with the individual work plans, and progress will be periodically monitored at management level.

【University Community, Child & Youth Service (UCS)】

- All staff completed the required training for FY2021. Each section explains the mandatory training requirements to its staff at the beginning of the fiscal year and follows up regularly to assess each section's training status. Staff are also encouraged to take time during work hours to attend and complete the mandatory training.

Auditors' Opinion

■ Most of the divisions achieved 100% or are expected to achieve 100%, which is commendable under the difficult situation with unresolved labor shortage and corona pandemic influences. The Auditors hope that the current trend of participation rate will continue.

Most divisions encourage staff participation in the training at meetings, or on an individual basis encouraged by their superiors including the division heads. There are also some divisions that used data to ensure staff's participation, and this kind of practice could be utilized as needed.

(5) Enhancement of Management Skills

OIST has an urgent need to improve management capabilities due to the expansion of its scale, especially mid-level employees' management skills (work assignment, work progress management, management of subordinates' working hours, etc.).

For this purpose, the Auditors checked how the employees are instructed to improve management skills, whether there are any meaningful or useful training programs at OIST for management skill improvement, and whether they have participated in any external training programs useful for staff development and management skill improvement.

All the divisions were actively involved in some external training programs.

Many divisions mentioned and commended the Assertive Communication Training.

【General Counsel (GC)】

- GC encourages staff to increase their contact with executives and to provide solutions beside legal judgment to other divisions and sections.
- External training providers included the bar associations, business law associations, and other private organizations.

【CIO and IT Division】

- Employees are encouraged to participate in external training sessions to develop skills necessary to perform work in accordance with their target audience.
- The training programs offered at OIST tend to have a short notice, and therefore, opportunities could be limited due to schedule conflicts.
- As for external training, knowledge-essential and highly valuable opportunities are categorized and promoted for staff participation.

【Provost and Research Support Division (RSD) 】

- RSD provides opportunities to mid-level employees for coaching junior employees and leading projects as OJT, then the supervisor gives advices to them when they need it or when the supervisor thinks it is necessary.
- LinkedIn learning is beneficial as it can provide specific courses which staff members are interested in learning.
- Two staff members participated in HR-organized career design training with an external instructor. During the training, the staff members conducted self-analysis based on the job cards filled out in advance. With guidance from the instructor and through group works, participants reconfirmed their own strengths and weaknesses, as well as their sense of value toward work. Afterwards, they were encouraged to think about what kind of career they would like to seek in the future, based on experiences and skills they have cultivated. Junior staff members were interested in this program and the program was deemed valuable for

participation.

【Secretary General (SG)】

- Participation in external training sessions is encouraged.
- Among the OIST training programs, harassment training and information security were deemed meaningful and useful for work. (Both are the required online trainings.)
- As for external trainings, SG is aware of which ones are valuable and beneficial for staff to participate.

【Graduate School (GS)】

- In GS, the organizational structure is a pyramid shape, where staff are placed under managers in each section. There are five sections and five managers, and all five managers report to the Vice Dean who then reports to the Dean, concurrently a full-time faculty member. The Dean provides professional development opportunities for managers to improve their leadership skills. The managers then work with the team leaders within their sections to support the acquisition of management skills.
- Among OIST training programs that were found meaningful and useful for our work, the management skill trainings by Human Resources (HR) were helpful.
- The Dean of GS and the managers have participated in Stanford University's LEAP360 program. This program is a 360-degree assessment of strengths and weaknesses tailored for managerial leadership development, accompanied with personal coaching. Meanwhile, many staff members have taken advantage of OIST LinkedIn Learning.

【Faculty Affairs Office (FAO)】

- Regarding the improvement of management skills, the Dean of FAO gives instructions and feedback on daily tasks, projects and items. Having been encouraged by the Dean, mid-level managers take part in necessary training programs.
- Among the internal training offered by HR Training Section, the Assertive Communications and Manager Training was meaningful.
- External training programs are listed below. The benefits of the external trainings are varied. It is deemed worthwhile to have staff members participate, as training can expand their network with other universities and external participants. Trainings can also increase professionalism and confidence in the workplace, allowing participants to think from multiple perspectives and to share such information within OIST.
 - DFA attended four online (evening) training courses hosted by Harvard University. The training theme was "Higher Education," which had been carried out from April to August.
 - Two staff members in charge of faculty evaluation attended the MEXT R&D Evaluation & HR Professional Development course for two days, aiming to acquire professional skills.

- In the library, several staff members participated in various workshops and training hosted by external organizations, including university consortiums, to acquire specialized knowledge and skills.
- Once a month (eight times in total), one staff member participates in "Tiruru Juku" run by Okinawa Prefecture and Okinawa Women's Foundation to learn diversity mindset, communication skills, life skills, and logical skills.

【Dean of Research Office (DoR)】

- In the Grants and Research Collaborations Section, managers provide guidance to each staff member in accordance with one's aptitude, position and grade. Specifically, external seminars are introduced, and opinion exchanges are carried out on an individual basis when there is any issue that requires instruction.

The Academic Partnership Team had no specific applicable case.

- Among the OIST training programs deemed meaningful and useful for work, the Assertive Communication Training organized by HR might be useful for Grants and Research Collaborations Section though they did not take the course in FY2021.
- As for the external training, the Grants and Research Collaborations Section had a few of its members participate in the online RA Council Annual Conference if they wished. Through sharing problem-solving methods and empirical knowledge with the other universities' related works, the participation in the training was meaningful.

【Technology Development and Innovation Center (TDIC)】

- TDIC recommends three initiatives for the managers to improve their management skills.
 - ① Encourage staff to set personal development (PD) as an annual performance goal.
 - ② Encourage staff to allocate 5% of the work time for skill development.
 - ③ Secure budget for staff to attend training courses.
- One of the training programs at OIST regarded as meaningful and useful for our work was assertive communication training.
- TDIC identified a wide variety of external training programs to strengthen management skills and individual development in general, and the staff actively participated in them.

【Financial Management (FM)】

- To improve management skills of the team leaders, a certain amount of work responsibility, including attendance management, has been delegated. Weekly team leader meetings (managers + team leaders) are held to provide guidance and discussion on how to lead their subordinates.
- During evaluation feedback and meetings with individuals, notes are made about team management and progress management.
- Among the OIST training programs considered meaningful and useful for work are

"Secrets for Improving Team Performance" in August and "Assertive Communication" in November 2021.

- Two new team leaders were invited to attend the "Introduction to Coaching Seminar" (hosted by Okinawa Industrial Support Center, November 12, 2021). The lecture on how to lead was reported to be very helpful.

【Buildings and Facilities Management (BFM)】

- All BFM members take online mandatory courses every year and reminded to participate in 40-hours-learning target. This fiscal year, the courses included “Contract Management On-line Seminar” hosted by Ministry of Finance over 30 days, “Assertive Communication” hosted by HR, and LinkedIn Learning.

【Communication and Public Relations Division (CPR)】

- Media Section had one-on-one meetings with VPCPR. The section leader is also encouraged to take management skill courses.
- In accordance with the Agile Method, Digital Content, Brand and Design Section (DCBD) has a "stand-up" meeting every morning to share daily notes to identify priorities and see if there is any area where DCBD can support each other.
- Community Relations Section regularly discuss some matters, and when deemed necessary, work hours of staff are shared.
- The Translation and Interpretation Team coordinates each other, closely balancing each staff's workload.
- Human Resource Training and Education Section has provided series of Management Development such as “Keys to Strengthen a Team,” “Keys to Reinforce Performance,” “Growth Dialogue with the Team,” and “Assertive Communications”, all of which were very useful. “Assertive Communication” by HR was useful for both managers and staff to help recognize gaps in terms of cultural background, etc. CPR worked with HR to bring this opportunity to all the members of CPR in February 2022.
- The CPR members have participated in hundreds of hours and dozens of external trainings, which are captured in the HR training spreadsheets.

【Human Resource (HR)】

- HR participates in MDPs hosted by HR, and individual coaching is also provided.
- Among the training programs offered at OIST, MDP and Assertive Communication by HR are deemed meaningful and useful.
- As for external trainings,
 - Business Manner Teaching was hosted by OfficeCarriere. The goal is to train instructors internally and eliminate the needs to invite external instructors, leading to cost reduction.
 - Labor Law Seminar (Organizer: CEI) is specific to school corporations, and clearly

applicable for employment management of OIST's faculty and staff to improve administrative accuracy.

【University Community, Child & Youth Service (UCS)】

- To ensure operational efficiency at the CDC, group leaders (A2) are expected to independently manage and supervise the daily operations of each classroom they are responsible for. The duties include managing schedules of staff, daily supervisory duties, supporting classroom teachers in their activities, while collaborating with other CDC staff, and interacting with parents. Staff assignments should reflect duties and responsibilities each staff member is expected to carry out. Because the duties and responsibilities of group leaders are administrative and supervisory in nature, they should be considered as supervisors.
- Out of the training programs offered at OIST, the following were found meaningful and useful for work; Assertive Communications training (focusing on diversity and approaching the invisible boundaries in working under different cultures through role-playing and constructive feedbacks), the organizational climate sessions (attended by Ganjuu Wellbeing Service staff) and the career design training (attended by several Resource Center staff).
- OIST actively encouraged employees to participate in numerous external courses and training programs.

Auditors' Opinion

■ Among all the trainings, many divisions mentioned and commended the Assertive Communications. However, some of the previously offered training programs, which were also commended in FY2020 Auditors' Audit, are not currently implemented. It is advised that training programs be carried out according to the evaluation and needs.

As for external training, all the divisions actively seek out and have their staff participate in the ones that are both highly evaluated and beneficial. The Auditors believe such efforts should continue.

(1 0) Ensuring Information Security

Ensuring information security is highly important not only to protect continuous day-to-day operations and research, but also to protect the University's information assets and external credibility.

For this purpose, the Auditors checked the participation rate of staff who are required to take mandatory information security training courses, as well as the occurrence of information security incidents in FY2021.

As for information security training, all required training was completed by all staff members eligible for the courses in all divisions.

There was no applicable information security incident.

【General Counsel (GC)】

- All members have taken the required training.
- No information security incident has occurred.

【CIO and IT Division】

- The completion rate of mandatory training in FY2021 was 100%.
- No information security incident occurred in CIO and IT Division in FY2021.
- In addition to mandatory training courses, the following are the points that IT Division made improvement on as well as the points that still need improvement.

The improved points were as follows:

- With change of the phone system, each division had a briefing session on how to use the new phones (Microsoft Teams). As of the end of December 2021, about 70% of the administrative staff have completed migration to the new phone system. IT plans to complete the phone migration for all the administrative staff by the end of March 2022.
- At the time of accepting new students (approximately three to four times a year), "IT Orientation" is held to explain the initial setup of their own computers and how to use IT resources.
- The mandatory information security training in eFront (OIST's LMS) is updated annually to share the latest cyber security threats and trends with all the faculty, staff, and students to prepare for potential risks. The training materials clearly state who to contact in case of an issue, which has helped to speed up the initial response.

《Points needed to be improved》

- "IT Orientation" for new faculty members is not currently provided. Uploading explanatory materials to eFront is being considered, such as (1) how to contact IT, (2) explanation of the IT environment, and (3) how to search for manuals.
- As for the information security, many users consider incidents described in the training materials as someone else's problem, and hence they may be unable to make the right decision in case of an emergency. Therefore, IT Division deems it is necessary to make the users more familiar with cyber security threats by holding hacking demonstrations and security incident response training, etc.

【Provost and Research Support Division (RSD) 】

- RSD aimed at reaching 100% completion by the end of May and achieved it. Participation status is shared at meetings with section leaders who are asked to follow-up.

- There was no information security incident.

【Secretary General (SG)】

- Mandatory training completion rate for FY2021 is 100%. Weekly reminders are made at managers' meetings. For specific measures, refer to "(8) Training" for specific initiatives.
- No information security incident occurred in FY2021.

【Graduate School (GS)】

- GS handles information with different levels of security management. Staff members are informed about appropriate levels of information security in accordance with their responsibilities.
- No information security incident occurred.

【Faculty Affairs Office (FAO)】

- The attendance rate of FAO's information security course was 100%.
- No information security incident occurred.

【Dean of Research (DoR)】

- All members of the Academic Partnership Team have already attended information security training courses.
- In the Grants and Research Collaborations Section, all students have taken the required courses. DoR reminded them to complete it by the deadline.
- No information security incident occurred in either the Academic Partnership Team or in the Grants and Research Collaborations Section.

【Technology Development and Innovation Center (TDIC)】

- Attendance for the mandatory annual OIST information security training is high. The Executive Vice President for Technology Development and Innovation Center (TDIC) encourages the employees to take the course each time and TDIC has maintained a very high participation rate.
- There have been no information security incidents at TDIC in FY2021.

【Financial Management (FM)】

- The attendance rate of the mandatory training is 100%. Section leaders remind staff to take the required training at section meetings.
- There was no information security incident.

【Buildings and Facilities Management (BFM)】

- Mandatory online training courses have been taken by all staff members.
- No security incident occurred in BFM in FY2021. BMF has been installing security cameras (Lab1 and Lab4 are completed) to prevent theft. There was a case where the evidence was able to be confirmed due to the installed security camera.

【Communication and Public Relations (CPR)】

- All CPR members took the mandatory information security trainings.
- There was no information security incident.

【Human Resource (HR)】

- 100% attendance rate was achieved
- There was no information security incident.

【University Community, Child & Youth Service (UCS)】

- All eligible participants completed the required training.
- At UCS, the following efforts were made:
 - To protect parental contact information, the CDC policy requires that all email notifications include parents in "BCC" format. One instance in which this policy was not followed was discovered by CDC leadership, and an action was taken to immediately delete the message and resend it with the appropriate format.
 - During the recent election for a representative to the Parent-Teacher Association, a parent expressed concern that her biography was being posted publicly, indicating that even though she was interested in being elected to the position, she was not comfortable with her information being made public in that manner. The biography was immediately removed, and she instead submitted an election statement to be made available to the parent voters for the election. While this case was not a policy violation, it demonstrated that UCS closely monitored the web activity on campus and remained sensitive to the individual concerns of the employees involved in the program.

Auditors' Opinion

- All the divisions have completed the required training. This may be partially due to the high level of awareness of information security among OIST employees and due to encouragement of the superiors, including the Vice President in charge of information security. The Auditors expect these efforts will continue.

(6) Initiatives for Disaster Prevention and Safety and Health Management

Efforts related to disaster prevention, safety, and health management are extremely important not only to save lives, but also to protect OIST's property, reputation, and other assets.

In FY2021, OIST conducted a fire drill led by BFM, and the status of each division's response was checked. Another checked item was whether each division works on its own or in cooperation with the other divisions to raise the awareness of disaster prevention and health and safety management.

No problem was identified in all divisions responding to the fire drill.

There were variations among the divisions on division-specific initiatives.

【General Counsel (GC)】

- All those who were present at the time participated.
- The biggest health and safety risk in the GC may be a traffic accident. GC staff are warned to drive safely.

【CIO and IT Division】

- An appropriate response was taken. In addition, the Service and Support Section staff was assigned as the leader of the Self-Defense Fire Brigade for Lab 2, and in cooperation with BMF staff, they properly guided visitors and conducted roll call.
- There is no specific initiative on its own or in cooperation with other divisions.

【Provost and Research Support Division (RSD)】

- RSD actively participated. The drill was better executed compared to before.
- Safety awareness posters have been placed in workplace.

【Secretary General (SG)】

- Appropriate actions were taken.
- There is no specific initiative on its own or in cooperation with other divisions.

【Graduate School (GS)】

- As far as GS is aware of, the drill was well executed. There was no feedback from the Emergency Response Coordinator.
- GS stays in line with the campus-wide disaster prevention and health and safety management.

【Faculty Affairs Office (FAO)】

- The fire drill was executed well.
- FAO consults with BFM when moving office furniture to take earthquake-prevention measures.

【Dean of Research (DoR)】

- The Academic Partnership Team participated in the fire drill. Since there is no dedicated office, the administrative staff and the External Partnership Coordinator have their desks in different buildings, making it difficult to monitor the evacuation status.

The Grants and Research Collaborations Section was able to respond well.

- Considering the above, at the Academic Partnership Team, the External Partnership Coordinator moved to the building where the administrative staff was located during the evacuation drill, and they participated in the drill together.

In the Grants and Research Collaborations Section, there are no initiatives of note.

【Technology Development and Innovation Center (TDIC)】

- The fire drill was carried out in a serious manner.
- There is no independent effort to raise awareness of health and safety management.

【Financial Management (FM)】

- The fire drill was handled well.
- The manager encouraged staff to attend the OHS-sponsored fire safety seminar and watch the video, “OIST Ergonomics on Workplace Health and Safety” during the OIST November Safety Month.

【Buildings and Facilities Management (BFM)】

- As the fire and disaster prevention supervisor and campus safety coordinator, BFM focused on strengthening the role of the Bosai Center and conducted some training. BFM was also tasked with improving accuracy of safety confirmation, as pointed out by the Emergency Response Coordinator. BFM thinks the roles of the Bosai Center have been enhanced year by year. However, the accuracy of staff’s individual safety confirmation, which required staff cooperation, was not satisfactory, though it became clear that the existing mechanism can be used to confirm the safety. Yet, this recognition itself was a big step forward for BFM.
- Safety and health management is led by OHS and BFM supports OHS. In addition, BFM is actively involved in traffic safety and other educational activities. BFM plans to conduct traffic safety activities in cooperation with the local police department by the end of FY2021.

【Communication and Public Relations (CPR)】

- The drill was well executed. All members participated in the drill, having been aware of the basic procedures in case of a fire. However, one of our team members was on crutches for the most recent drill and had mobility challenges exiting the building on a very steep and slippery path. This issue was reported to the Emergency Response Coordinator.
- One of the CPR members is a voluntary marshal. Another team member has volunteered to be on the occupational health and safety committee. After a workplace incident earlier this year (slip/trip), there was an email reminder to CPR about the importance of prevention.

【Human Resource (HR)】

- The response to the drill was smooth.
- HR participated in the Emergency Response Committee and the occupational health and safety committee, independently or in collaboration with the other divisions,

【University Community, Child & Youth Service (UCS)】

- UCS staff in the areas covered by the OIST evacuation drill evacuated from their workplaces and assembled at the designated assembly points.
- CDC conducts monthly evacuation drills in cooperation with Bosai Center. These drills

familiarize staff with the child safety procedures related to evacuation from the building in the event of a fire.

- Training and other activities that UCS engages in are as follows:
 - Trainings for all employees
 - Emergency evacuation and response to suspicious persons (during onboarding)
 - Practical training with a man-catcher pole. (Every other year)
 - General Safety Training
 - Other trainings
 - Fire drills (monthly - including children) (+ SAP)
 - Earthquake drills (every other month - including children) (+ SAP)
 - Practical training with a man-catcher pole (annually)
 - Flooding (every year)
 - Certification
 - Japanese firefighting certification with a self-defense and firefighting lecture - one CDC employee participated, valid for five-years and to be renewed every five years.
 - Pediatric First Aid Training Certification - Valid for two years for all CDC staff, (available for renewal twice a year.
 - Pediatric First Aid Trainer Certification - two CDC staff participated, to be renewed annually.
- In food service, one restaurant staff member was assigned as the fire and disaster prevention officer, and all café and restaurant staff participated in the drill.

Auditors' Opinion

■ Although variations among the division's own efforts may be largely due to the nature of each division's operations, awareness can be created in any division without too much time and effort. In the event of an "emergency," human lives could be at stake. Therefore, the Auditors hope for the continued proactive efforts to address these safety related issues.

(1 2) The Business Continuity Plan (BCP)

The Business Continuity Plan (BCP) is essential for OIST to minimize damage, continue operations and research, and recover quickly in the event of a natural disaster or other emergency.

The auditors reviewed the items that each division worked on in FY2021 and the items they would like to work on in the future.

Some divisions continued from FY2020 to "follow the University's BCP plan" and had no initiatives of their own, while others were actively engaged in a wide range of initiatives.

【General Counsel (GC)】

- Since there is no legal work when normal operations are suspended, the problem is considered a special legal issue during reconstruction, but this is an issue that needs to be addressed on an individual basis.

【CIO and IT Division】

- The team is alerted to this at weekly manager meetings.
- To ensure that business does not stop in the event of an emergency (e.g., natural disaster) on the main island of Okinawa, all OIST business-critical systems are in the cloud. In FY2021, the IT Division also migrated our HEART system from a private cloud (IIJ) to a public cloud (AWS).
- In cooperation with Nara Institute of Science and Technology (NAIST), the IT Division is planning to set up a DR site* (Disaster Recovery site) for each other. *DR site: A facility or equipment that is used as an emergency alternative site when it becomes impossible to continue operations at a major IT system site due to a disaster.

【Provost and Research Support Division (RSD)】

- In FY2021, RSD made improvements to the PCR testing process and conducted workplace vaccinations as a real case BCP under pandemic. The division would like to hold a BCP drill based on a new scenario.

【Secretary General (SG)】

- The team is alerted to this at weekly managers' meetings.

【Graduate School (GS)】

- Although no new BCP components were developed formally, GS continues to adjust to the fluid COVID-related policy changes externally (e.g., Japanese border policies for relocation of students) and internally (e.g., graduation coordination based on OIST gathering policies).

【Faculty Affairs Office (FAO)】

- FAO is using cloud-based data management which can be accessed from anywhere in the world with internet connection, which helps to minimize the loss of paper documents and make data easier to manage. In response to a call from the Office of the Secretary General, FAO updated the Business Continuity Plan in January 2022.

【Dean of Research (DoR)】

- The Grants and Research Collaborations Section has made no changes to the BCP from last year.

【Technology Development and Innovation Center (TDIC)】

- Software is used to manage documents and critical information necessary to continue operations. Important documents are stored in SharePoint. Intellectual property

management and contracts are managed in Sophia. Asana is now being used to manage projects and tasks. Salesforce was also introduced for customer management. Survey Monkey has helped the Startup Accelerator Program improve its efficiency from recruitment to review. In the future, IP-related management will be transferred to Salesforce.

【Financial Management (FM)】

- The names of persons in charge and other contents are updated in accordance with personnel changes.
- Simulations were conducted within the division to confirm how to respond in the event of an emergency situation. By promoting the digitalization of operations in the future, FM would like to expand the scope of operations that can be handled off-campus in the event of an emergency.

【Buildings and Facilities Management (BFM)】

- BCP is a joint effort by entire staff and all divisions or units at OIST. BFM follows the requirements set by the university. BFM will conduct regular drills to ensure that assigned roles can be executed promptly in an emergency.

【Communication and Public Relations (CPR)】

- The BCP was updated in January 2022 in anticipation of an evolving COVID situation. A number of elements are in progress at the time of writing this report.
- The manager is Coordinator of the Information Team for the emergency response, but DCBD has not had a chance to do any training or rehearsals this year.
- Community Relations: BCP is led by BCP Coordinator and the appointed members, but in FY 2021, the COVID-19 pandemic did not allow CR to implement the training.

【Human Resource (HR)】

- The BCP developed in FY2020 is sufficient and no additional issues have arisen.

【University Community, Child & Youth Services (UCS)】

- At Child & Youth Services:
 - Classroom and CDC closure protocols have been established to reduce and/or mitigate COVID-19 transmission among staff and/or children.
 - If CDC closure is determined, classroom staff will engage in lesson planning, preparation, and professional development and provide limited programming with children using Zoom (story-time, songs, finger plays, etc.).
 - When OIST reopens, some parents will need to take leave to care for their children. In such cases, HR will need to decide on the coverage of the leave.
 - The CDC Management Team and the Head of Administration will require VPN access and may engage in some administrative tasks.
 - Childcare software for contactless sign-in and sign-up was implemented.

- The Resource Center needs to provide critical services even if OIST is closed. All members have laptop computers, VPN access, and home internet access to work from home. Members of the Resource Center and the VPUCS communicate using Zoom and Jabber phone applications. In addition, the VPUCS works with the Resource Center Director on a variety of identified projects.
- The food service is following the policy of Okinawa Prefecture, and unvaccinated persons are receiving PCR tests on a regular basis (monthly, weekly, etc.).

Auditors' opinion

- The difference between those divisions that do not have their own initiatives and those that are actively engaged in a wide range of activities is largely due to the nature of their operations. However, perhaps due to the COVID-19 pandemic, even those divisions that did not have their own initiatives showed a seriousness toward BCP.

The auditors expect each division to continue to make active efforts to improve the BCP, as constant study is desirable.

4. Response to COVID-19

The COVID-19 pandemic has forced various organizations to respond in different ways. OIST is no exception. The university has boldly taken a stand against the pandemic and has achieved a variety of successes.

The Pandemic remains unpredictable on a global scale, but it is highly desirable that efforts be initiated at the earliest possible opportunity to address the situation during and after the pandemic.

To this end, the auditors reviewed the responses that have been taken regarding the COVID-19 pandemic and their results, as well as future efforts to address the situation during the pandemic and beyond, and if so, what actions have been taken and what results have been achieved, and if any, what actions will be taken and what results are expected as a result.

All divisions were proactive in their responses and were already “preparing where they can” in their efforts to prepare for situations during and beyond a pandemic.

【General Counsel (GC)】

- As often as possible, meetings with outside attorneys are also held remotely.
- Allow working-from-home and PCR testing as needed for efforts during and beyond the pandemic situation.

【CIO and IT Division】

- There is nothing special to report for FY2021, as the development of the remote work environment and other measures were completed in FY2020.
- For efforts to address the situation during and beyond the pandemic, the IT Division has reviewed its work processes so that all general operations other than those involving physical work such as network wiring, server installation, PC setup, etc. can be completed online, and most of the Division's stand-alone operations can be handled online. The IT Division is ready to move to a fully remote work environment.

【Provost and Research Support Division (RSD)】

- Having the Provost as a leader, the team lead OIST's COVID-19 countermeasure policies. The Sequencing Section (SQC), the Occupational Health and Safety Section (OHS) and the Health Center successfully provided internal/external PCR tests and two workplace vaccinations. Preparation for the booster shot is also in progress. SQC has been contracted by the Okinawa Prefectural Government to make genome sequencing of COVID-19 positive samples.
- For efforts to address the situation during and beyond the pandemic, SQC automated a part of the PCR test process. This has enabled them to increase the test capacity significantly. (With five staff members dedicated to PCR testing, the maximum number before automation on campus was about 100 cases per day, but now it is more than 2,500 cases, a dramatic increase of more than 25 times the testing capacity.)

【Secretary General (SG)】

- The SG team made a significant contribution to the success of the workforce vaccination conducted in July–August 2021. (A total of 334 personnel, around 25 per vaccination day, were deployed to vaccinate over 3,600 individuals inside and outside of OIST.)
- Amidst the changing regulations regarding re-entry to Japan, the team has launched a "Re-entry" page on the Guidance page to consolidate in one place the information that had been dispersed throughout the university and to provide common reminders to faculty, staff and students. Previously, as part of the HR and GS operations, the content was described on each division or section's webpage with content specific to users in that particular department, but the team has created a new page consisting of (1) before departure from Japan, (2) before departure from the country of stay, and (3) after arrival in Japan, referring to the websites of other universities. Of the (1) information gathering and (2) editing work that had been done by each department, the (2) editing work that had been duplicated in each department was reduced by consolidating it in the office of the Secretary General. The staff in charge of each division asked the Secretary-General's office to coordinate (1) latest information from the MHLW and MOFA, and the responsibilities of "(1) information collection" to "(2) editing and updating" became clear and productive.

- Remote meetings have become the norm, and the sense of discomfort with IT tools has disappeared.

【Graduate School (GS)】

- GS has stayed in line with campus-wide COVID-19 policies. The division has a GS representative on the COVID-19 management committee and coordinate accordingly.
- GS has adjusted the classroom capacity for students, mode of teaching (e.g., face to face vs. online), staff office capacity, and formal event coordination according to the changing policies throughout the pandemic.

【Faculty Affairs Office (FAO)】

- FAO is taking the advocated measures to protect against the spread of COVID-19 and working from home when mandated. In addition, FAO's operations have been impacted and so the following changes have taken place:
 - Faculty Recruitment: Due to border restrictions, FAO is not able to invite faculty candidates from overseas and have asked faculty candidates to give online seminars. Interviews with OIST executives are also done online and even during the pandemic we have been able to successfully continue our recruitment. For candidates who have never been to our campus FAO conducted personalized online (virtual) campus tours. The division coordinated participation with other divisions as well. FAO hopes that the online campus tours will help to increase the candidates' acceptance of job offers.
 - Faculty Evaluation: FAO continue to perform online tenure and unit reviews online. As this is the second year of moving online, the team was able to effectively prepare and adjust schedules accordingly compared to last year.
- Library: As most of OIST's collection items are e-books, the damage from COVID-19 to the Library operations and services has been limited. Even with the campus closure, both students and researchers will be able to access the electronic library collection. The Library will continue to update its collection of e-resources as much as possible going forward.

【Dean of Research (DoR)】

- In the Academic Partnership Team, the workshop with Tohoku University (February 2021) and the symposium with RIKEN (October 2021) were planned to be on-site only, but switched to hybrid.
- The symposium on environmental science with RIKEN (April 2021) was conducted with sufficient infection control measures and with limited participants from RIKEN. Both on-site and online sessions were held without problems. The success was due to the cooperation of other divisions.
- The Academic Partnership Team prepared a flexible plan and executed the event with the flexibility to switch symposiums and workshops to online or hybrid formats at any time, created

a manual for venue setup for hybrid events, and provided training within the team. As a result, events could be held without problems, even if there were schedule changes. In addition, with the help of the IT Division, a platform called “REMO” was introduced to allow for virtual networking at online conferences. The section would like to use different platforms depending on the nature of the event and make it easier for young researchers to participate in inter-institutional collaboration.

- The Grants and Research Collaborations Section has no new initiatives of note in FY2021.

【Technology Development and Innovation Center (TDIC)】

- OIST guidelines for COVID-19 are being disseminated to staff. TDIC is flexible to introduce work from home and shift work to avoid crowding in the office. Managers also try to keep track of staff who have traveled or made business trips outside of Okinawa to see if they have been PCR tested.
- In the context of a global pandemic, TDIC will continue to provide flexibility for work from home as needed, and believes that improvements are needed to make OIST's work from home rules more flexible. At the same time, in a post-pandemic world, face-to-face engagement is important for business, and TDIC will continue to work to achieve this as the COVID-19 pandemic subsides.

【Financial Management (FM)】

- In several contracts, disruptions in the logistics network caused contract delivery deadlines to be missed, which were addressed by making appropriate changes to the contracts. Many staff members volunteered to participate in the vaccination program. Regarding ethanol for hand sanitizer, which has been available on campus since 2020, inventory management was transferred to the Health Center, but part of the replenishment work continues to be handled by the Procurement and Supplies Section.
- The payment schedule was reduced from weekly to bi-weekly to streamline operations.
- Budget meetings with the Cabinet Office were switched to online meetings.
- Emphasis has been placed on attending external training programs to improve skills. Since opportunities for travel have been greatly reduced, FM has actively encouraged staff to take online courses instead. On-demand training has the advantage of allowing staff to take courses flexibly at times when they are not busy with their work.
- In a post-pandemic world, paperwork must be processed in a manner that eliminates face-to-face and written communication as much as possible. The division hopes to achieve this in the selection of the next HEART system to be implemented in the next fiscal year and beyond.

【Buildings and Facilities Management (BFM)】

- All divisions and units at OIST must follow general rules set by the university for COVID-19 and are not expected to set their own specific rules. BFM made sure that all the national rules,

OIST instructions, and common-sense prevention measures were observed.

【Communication and Public Relations (CPR)】

- The Media section actively promoted the COVID-19 efforts made by OIST research units and divisions. This contributed to the improvement of the university's reputation.

The Section will continue these efforts both during the pandemic and beyond.

- Many research units moved workshops and conferences online, so DCBD helped them with websites and video events.

As for efforts for situations during and beyond the pandemic, DCBD is working with more units on making science explanation videos and graphics to help them use the web instead of in-person events to communicate their science.

- All outreach programs in and outside OIST were conducted utilizing digital tools, such as Zoom, in accordance with Okinawa Prefectural Government, OIST guidelines and advanced guidance of the BCP Coordinator. CR conducted all programs online and quickly accumulated the know-how to implement them online. CR will continue to utilize these efforts both during the pandemic and beyond.
- The Translation and Interpretation Team met the increasing need for virtual/hybrid meetings and events within the university, and developed Remote Simultaneous Interpretation skills that helped ensure smooth and efficient communication between the university and its external stakeholders during the pandemic and beyond.
- Internal Communication has provided urgent and important services in response to needs created by COVID-19, and will continue these efforts both during the pandemic and beyond.

【Human Resource (HR)】

- HR's response over the pandemic included "providing special leave to incentivize vaccination," "special approval for work from home," and "flexibility for those arriving from overseas".
- As for efforts for situations during and beyond the pandemic, HR will flexibly revise the guidelines for all staff according to the current situation.

【University Community, Child & Youth Services (UCS)】

- Child & Youth Services' response to the pandemic include the following:
 - The CDC continues to provide regular PCR testing to classroom staff and encourages children ages 2 and older to wear masks.
 - All staff must wear masks indoors and cannot come to work when sick.
 - Hand sanitizer is available at each entrance to the CDC, and hand washing sinks in each class and outside are available to children and staff; CDC staff actively encourage children to wash their hands voluntarily and maintain hand hygiene.
 - To keep the children apart, staffing ratios have been increased slightly.
 - Classes are not integrated, and staff are not shared between classrooms. Children only have

- contact with children in the same class while at the CDC.
- To prevent the spread of COVID-19, the staffing ratios in each class were adjusted and sharing of staff in classes was discontinued.
 - Temperatures of children and staff are taken upon arrival each morning, and absent children are also checked. Sick children are strictly prohibited from attending school.
 - If a person other than the assigned class staff enters the room, the class status is tracked.
- Responses made by the Recreational Services regarding the pandemic include:
 - Support for OIST COVID-19 Basic Policy Development.
 - A Recreation Services policy was developed for all facilities and activities managed by the Recreation Services to function at the COVID-19 alert levels (0-4) issued by the Okinawa Prefectural Government. (e.g., clubs, gyms, events, workshops, social gatherings, food stands)
 - The pandemic response taken by the Resource Center is as follows:
 - <Facility protocols>
 - All tables are wiped clean before and after each visitor.
 - Door handles are also wiped down at the end of the day.
 - A reminder to OIST COVID-19 Guidelines is posted on the door and on an electronic bulletin board in Lab 4.
 - <Individual protocols>
 - A sign is posted requesting the use of hand sanitizer before entering a room.
 - Staff encourage visitors to use hand sanitizer.
 - The pandemic response taken by the Language Education is as follows:
 - <Classroom safety protocols>
 - Initially, all classes were converted to online classes, but were returned to face-to-face classes to enhance learning.
 - Partitions are set up on desks.
 - Fans are installed at the door for ventilation.
 - Equipment (markers, whiteboards, tables) is disinfected between classes.
 - <Student safety>
 - Ensured the use of alcohol disinfectant solution at the entrance.
 - Limiting the number of students in a class.
 - All class participants are to be two meters away from each other.
 - The wearing of masks is mandatory.
 - The pandemic response taken by the Ganjuu Wellbeing Service is as follows:
 - The service supported the wellbeing of the OIST community during this difficult time.
 - Participation in a panel discussion organized by the Japan Society focusing on the impact of

COVID-19 and the challenges of returning to a new normal.

- The service offers the option of in-person or Zoom.
- The pandemic response taken by food services (the café and the restaurant) is as follows:
 - <Facility protocols>
 - Partitions are set up at the cash registers.
 - To maintain social distance, the floor is marked at about 2 m intervals where customers line up.
 - The number of tables and seats were reduced, spaced apart, and arranged to face the same direction.
 - When serving drinks, take-out cups are used.
 - Bread and sandwiches are individually wrapped so that users do not have to use tongs or trays.
 - <Individual protocols>
 - Alcohol disinfectant was installed at entrances and exits.
 - Staff must check temperature and health status every morning.
- The pandemic response taken by food services (lunchbox vendors) is as follows:
 - Need to check body temperature and health status.
 - Wear masks and gloves and disinfect frequently.
- The pandemic response taken by food services (Jimmy's) is as follows:
 - <Facility protocols>
 - Partitions are set up at the cash register.
 - Doors are regularly opened and ventilated.
 - To maintain social distance, the floor is marked at about 2 m intervals where customers line up.
 - <Individual protocols>
 - Encourage people to wear masks and refrain from staying in the store for long periods of time.
- In an effort to prepare for the situation during and beyond the pandemic, Child and Youth Services did the following:
 - The CDC has found that since the beginning of the pandemic, the incidence of illness among children has been much lower than before.
 - SAP limits the number of children who can participate in the holiday program and requires all children and staff to wear masks indoors. Parents are not allowed in the classrooms. Visitors (currently only maintenance staff) must sign in/out and have their temperature taken. Temperatures should also be taken before boarding the school bus.
 - The Education Coordinator limits the number of children in class at any one time and

- disinfects tables and computers between classes. They require face masks at all times (no eating or drinking), hand washing upon entering the room, and social distancing. For everything else, they follow the CDC/SAP protocol. To date, there have been no cases of COVID-19 infections among children in the international classes.
- In an effort to prepare for the situation during and beyond the pandemic, the Resource Center has enhanced the content of its website so that relatively simple questions and problems can be resolved without physical interaction with staff. The content includes the following:
 - Informational content - pension plans, switching driver's licenses, rules for garbage disposal, etc.
 - “How to” content - ATM operations, redelivery requests, etc.
 - Web Forms - Forms to be submitted when booking a car rental or air conditioning cleaning.
 - In an effort to prepare for the situation during and beyond the pandemic, the Recreation Services did the following:
 - <Facility protocols> As an ongoing precautionary measure, postings were made to show the diverse population that physical or social distancing, additional ventilation of indoor spaces, covering coughs and sneezes, hand washing, and keeping unwashed hands away from the face can help prevent the spread of the virus.
 - <Individual protocols> To minimize the risk of infection, the use of face masks or covers is recommended in public places.
 - In an effort to prepare for the situation during and beyond the pandemic, the food service and Language Education Section will comply with the policy of the Okinawa Prefectural Government and continue to implement the aforementioned measures.

Auditors' opinion

■ All divisions, under very difficult circumstances, have made sincere efforts and elaborated their efforts according to the nature and characteristics of their operations, which the Auditors highly appreciate.

In many divisions, it was observed that they are already “starting where they can” with regard to efforts to prepare for the situation during and after the pandemic, and it was confirmed that the university is taking all possible measures. The auditors would like to commend this as well.

5. Individual Items

(1) Contribution to the development of Okinawa

As the basis for the establishment of the university (i.e., the Okinawa Institute of Science and Technology School Corporation Act [Act No. 76 of 2009]), Article 1 stipulates that the purpose of this Act is to provide for necessary matters concerning the establishment and operation of

the Okinawa Institute of Science and Technology in order to promote internationally distinguished research and education on science and technology based in Okinawa (within Okinawa Prefecture; the same shall apply hereinafter), and thus contribute to the promotion and self-sustaining development of Okinawa and to the development of science and technology worldwide.

The auditors confirmed with the Office of the Provost and Research Support Division (RSD) about the contribution to the development of Okinawa. The results of the confirmation are as follows.

Examples in research and education are as follows:

- The division has welcomed students from National Institute of Technology Okinawa College at the core facilities for the first time, providing them working experience through the internship program.
- As for OJT of nursing students at the Health Center, in addition to MEIO and Okinawa Prefectural College of Nursing, OIST has agreed to be a registered facility to welcome nursing students from Northern Nursing School in Okinawa from 2023.
- By utilizing Equipment External Use scheme, local companies brought in their own samples and analyzed them at our facility.

Future issues, including areas for improvement, are to expand the number of equipment available to extramural users and to introduce contract analysis, in which analyses are performed by RSD staff, in a sustainable manner with limited resources.

The auditors commend the RSD for its steady promotion of good practices even as the ongoing pandemic makes human exchange more difficult.

(2) Outreach activities for junior and senior high school students in and outside Okinawa

Outreach activities for junior and senior high school students in and outside of Okinawa are essential for attracting excellent students.

Confirmation was made with the Graduate School regarding outreach activities for junior and senior high school students in and outside of Okinawa Prefecture. The results of the confirmation are as follows:

GS offers a variety of science outreach activities for building an educational pipeline for future OIST student recruitment, contributing to science education in Okinawa and Japan, and delivering impact to community.

GS provided a total of 12 science workshops, outreach activities, and career talk events for junior high and high school students in FY2021 so far. GS has engaged with over 500 junior high and high school students in and out of Okinawa and spread the awareness of OIST and its educational and research opportunities.

Effects of educational outreach on recruitment are measured in decades, by default. GS is investing in inspiring 13-year-olds who will not reach the age to apply for PhD for another 10 years.

GS is now able to collect participants' information, which will help track their future engagement with other GS activities. Feedback received on the spot from participants in outreach activities has been extremely positive.

- Outreach activities to junior high and high school students in Okinawa and beyond are extremely important, given the history of the university's establishment.
- Perhaps because of this, some of the other divisions are also showing a high level of interest and are actively working on this issue.

In light of the above, the auditors strongly hope that the university, which has been in operation for just over 10 years, will make a concerted effort to actively implement these measures, as it is expected to produce appropriate results and achievements.

(3) Efforts to obtain competitive research funds

Confirmation was made with the Dean of Research regarding the acquisition of competitive research funds. The results of the audit are as follows:

As in previous years, a support system was put in place prior to the call for applications for KAKENHI, which attracts the largest number of applications, and efforts were made to disseminate the information within the university.

In particular, this fiscal year the office actively worked to increase the number of applications and adoptions by conducting online seminars by external emeritus professors and internal faculty members with experience reviewing KAKENHI and other projects, compiling videos of key points related to application document preparation, and creating videos of interviews with past recipients, which are available on the OIST website.

There are still some KAKENHI grants with late application deadlines, and the total number of applications has increase from last year.

In addition to the usual campus-wide announcement of applications for relatively large competitive research grants, the office is also making efforts to increase the number of applications by contacting targeted researchers individually.

The auditors highly commend the efforts to obtain competitive research grants, judging that they have been devised year after year and are making steady progress. The auditors strongly hope that OIST will continue to make progress in this area, as the acquisition of competitive research grants is an easy way to demonstrate the high quality of OIST's research to the public.

The auditors also confirmed with the Dean of Research the efforts and achievements of networking with domestic and foreign universities and research institutions in FY2021, as well

as the outlook for the future. These efforts are steadily advancing and deepening, and the auditors would like to express their respect for these efforts and strongly hope that OIST will continue to be proactive in this area.

(4) Budget execution management in facility and equipment management

Regarding budget execution management in facilities and equipment management, the auditors interviewed BFM and FM to determine whether information sharing and consensus building between the construction management team and the budget execution management team are being conducted at appropriate times.

The results of the confirmation with BFM are as follows:

The construction management team is organized with the Construction Budget Analyst who was added to the Campus Building Section. All members are involved in budget management while the Budget and Contract Management Section manages budget execution, and the two people leading the construction management team and one person leading the Budget and Contract Management Section exchange information on a daily basis (including all interactions within the Cabinet Office, the university, and the division). This allows everyone to share information at all times and reach a consensus in an appropriate time.

Documents such as "Facility Subsidy," "Trial Balance of Operating Expenses," and "Trial Balance of Core Environment Improvement" are used as tools for information sharing to avoid omissions in sharing.

The results of the check with FM are as follows:

At the beginning of the next fiscal year's budget request review (February–March), information is shared on draft requests for facility development expenses and operating subsidies, and updated versions are shared as appropriate thereafter.

During the OIST internal review period (April–May), the OIST Board of Governors (BOG) decides on the details of the request and builds consensus on the request for the combined facilities and operating subsidies, fully considering the President's intentions.

During the negotiation period with the Cabinet Office (June–August), necessary explanations are provided by the BFM Division for facility development subsidies and by the FM Division for operating subsidies, based on decisions made by the BOG. Information on the status of explanations is shared as appropriate.

The Auditors, reading the results of both divisions' confirmations together, confirm and commend the current status of appropriate information sharing and consensus building, and strongly hope that appropriate information-sharing and consensus building will continue to take place.

(5) Reduction of overtime work

The auditors confirmed the reduction of overtime with HR. The results of the audit are as follows:

For reduction in the burden on Divisions and staff with heavy overtime in FY2021:

- HR requests that employees who work more than 45 hours of overtime per month undergo an interview with the Occupational Health and Safety Doctor.
- Although there was a temporary trend of increased overtime in some divisions and Sections due to COVID-19 related responses and staff retirements, HR has promoted the improvement of operations.

As a result of these burden reductions, overtime hours have been decreasing year after year, as well as the number of Occupational Health and Safety Doctor interviews.

The Auditors observed that overtime hours have been decreasing each year and that interviews with Occupational Health and Safety Doctors have also been decreasing, and while commending HR's efforts, hope that the reduction of overtime will continue to progress.

(6) Review of personnel allocation

The auditors confirmed the review of personnel allocation with HR. The results of the audit are as follows.

In FY2020, a new scheme, the Strategic Resource Allocation Committee (SRAC), was established, whereby division heads submit staffing requests for the next fiscal year, and the university's senior management prioritizes, hires, and allocates staff based on both organizational strategy and budget management. Prior to the meeting, the Vice President for Human Resource (VPHR) and the Vice President for Financial Management will interview each division head regarding the current organizational chart, personnel costs, staffing and development plans, and will then discuss organizational strategies and personnel development plans with them. After carefully reviewing the plan, each division head is given an opportunity to present his/her request to the senior management for approval by the Committee. The SRAC has made each division head aware of the long-term personnel development plan.

In addition, priority was given to recruiting and hiring for positions that were critical to the organizational strategy.

The Auditors highly commend the SRAC for getting underway and the sincere efforts and responses of the VPHR and others involved, which have made it possible to allocate personnel budgets that suit both organizational strategy and budget management, and strongly hope that the process will continue to improve transparency and accuracy.

(7) Research exchange workshops

The auditors confirmed with the Provost and Research Support Division (RSD) what the research exchange workshop should be.

The results of the audit are as follows.

- RSD adjusted the total amount of financial support to a fixed package per workshop.
- Support for workshop participants is limited to selected faction of those who have active roles in the workshop as travel grants.
- The Conference and Workshop Committee asks workshop organizers to apply for external matching funds, sponsorship and collaborations with the other institutes/universities.
- The Conference and Workshop Section (CWS) accumulates the information about external funds and past sponsorship to help organizing faculty members to plan for new workshops.
- The Conference and Workshop Committee encourages workshop organizers to collect registration fees from participants to recover some of the logistics expenditure.
- Workshop registration and logistics support web portal were developed to streamline the workflow of each workshop, reducing the workload of supporting staff.
- Zoom and Zoom Webinar licenses have been utilized to support more online and hybrid conferences and workshops to cope with COVID-19's "New Normal" situation. Also, organizers are encouraged to bring in some speakers this way, who might otherwise not be able to join the full event due to scheduling and other reasons.
- Discussions have been held with other sections within OIST (Graduate School, OIST Foundation, etc.) to share costs and leverage synergies to gain more external funding.

The auditors commend and highly evaluate all of the above-mentioned initiatives as concrete and effective and hope that they will continue to do so.

6. Conclusions

Article 1 of the Okinawa Institute of Science and Technology School Corporation Act (Law No. 76, 2009), which describes the ground for the establishment of OIST, stipulates the following:

“The purpose of this Act is to provide for necessary matters concerning the establishment and operation of the Okinawa Institute of Science and Technology Graduate University in order to promote internationally distinguished research and education on science and technology based in Okinawa (within Okinawa Prefecture; the same shall apply hereinafter), and thus contribute to the promotion and self-sustaining development of Okinawa and to the development of science and technology worldwide.”

Under the current status, most OIST operating expense has been provided as in a form of subsidies from the Japanese government.

If OIST financial management is expected to be continued, OIST needs to obtain deep understanding by the Japanese public.

OIST must explain to Japanese people in an easy-to-understand manner how OIST has achieved significant outcomes since its establishment in accordance with the objectives stated in the above-mentioned paragraph for the establishment of OIST.

OIST needs to seek recognition for its outstanding university research by the citizens.

There are a variety of ways to do so.

Through various methods and innovations, OIST should appeal its quality research and its institutional position as one of best in the world to the Japanese citizens.

The excellence of OIST's research is expected to be further disseminated and widely circulated in Japan.

The Auditors strongly hope that OIST will be supported as "a treasure of Okinawa and furthermore a treasure of Japan".

Finally, the Auditors express the gratitude for each division's sincere response during the auditors' hearings as well as for the substantial cooperation by OIST's management teams and the other related parties.

The original text of the "Audit Report" is Japanese. If there is any discrepancy between the English and Japanese versions, the Japanese version shall prevail.

For the translation of the Japanese version into English, appropriate assistance was provided by Ms. Elizabeth Speyer, Ms. Mari Takenouchi and Ms. Akiko Ringdahl of CPR. In addition, during the interviews in the auditors' audit hearings, Ms. Akiko Ringdahl and Ms. Mari Takenouchi provided interpretation which enabled us to communicate in a sufficient manner. We would like to express our deepest gratitude to them.