



OIST

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

May 18, 2023

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

From: Kentaro Miura  
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### FY 2022 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 2022, 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 2022 Audit Results and Auditors' Opinion.

May 18, 2023

## FY2022 Audit Result and Auditors' Opinion

### 1. Introduction

The Okinawa Institute of Science and Technology Graduate University (hereinafter referred to as "OIST") celebrated its 10th anniversary in 2021.

In October 2022, Dr. Svante Pääbo, an adjunct professor at OIST, received the Nobel Prize in Physiology or Medicine, bringing great honor to OIST.

Prior to receiving the Nobel Prize, in April 2022, Dr. Svante Pääbo received the 2020 Japan Prize in the presence of their Majesties the Emperor and Empress of Japan (this award ceremony was delayed due to the corona pandemic). After receiving the Japan Prize, he gave a lecture at OIST. An article with a photo of the occasion was posted on the University's website. These remain one of the achievements OIST can be most proud of.

These brilliant awards of Dr. Svante Pääbo are a clear indication of the high quality of the OIST faculty. The awards show this to the Japanese public in truly clear way.

In this year's Auditors' audit, the auditors continued to confirm the steady actions taken regarding the corona pandemic. They noted that they hope to see further progress on OIST's research activities in the future.

As Auditors, we sincerely hope that OIST will have the honor of following in the footsteps of Professor Svante Pääbo.

In conducting the audit, we received detailed responses from each division subject to the audit and great cooperation from OIST management and other related parties. We would like to express our deepest gratitude.

### 2. Audit plan

#### ( 1 ) Basic audit policy

In accordance with OIST's Bylaw Article 15 Section 3 and OIST's Policies, Rules & Procedures (hereinafter referred to as PRP) 09, Audits by the Auditors "are conducted to promote legitimate and efficient business and administrative operations of the

University as well as to ensure proper and efficient operation and to form the Auditors' opinion for the closing of FY 2021, as provisioned in Article 34, Section 1 of the Bylaws."

(2) Audit Items

The Auditors conduct audits of the items listed in PRP 9.4.1, especially items (1) through (5) and (6) in the Business Plan and item (3) in the University Auditors' Guidelines for Auditors' Audit (decided by the Auditors in September 2017).

1. Education and research
2. Transparency and efficiency of governance and business operations
3. Finance
4. Contribution to the self-sustainable development of Okinawa
5. University campus and community development; safety and environment protection
6. Other items that the Auditors find necessary to audit to achieve sound and stable operation of the School Corporation.

Specifically, the auditors audited the following items (hereinafter referred to as "common items"), which require continuous efforts.

- Improvement of operational efficiency
- Response to labor shortage
- Management of task progress
- Management of budget execution
- Coordination between divisions
- Improvement of working environment
- Anti-harassment measures
- Training
- Improvement of management skills of staff
- Ensuring information security
- Initiatives for disaster prevention and safety and health management
- Business Continuity Plan (BCP)

In addition, the Auditors have continued the audit from the previous fiscal year on the efforts to address the corona pandemic and, in the post-corona era, they are looking at the response to the continued needs.

In addition, the Auditors audited individual divisions on matters such as "contribution to the promotion of Okinawa" as stipulated in the basis for the establishment of Okinawa Institute of Science and Technology Graduate University School Corporation Law (Law No. 76, 2009) (hereinafter referred to as "individual items").

The order and the names of individual Divisions basically accord with PRP 2.4.

### 3. Common items

#### (1) Improvement of operational efficiency

OIST faces the challenge of improving operational efficiency while coping with increased operations due to the expansion of OIST.

To this end, each division was asked to confirm which actions were implemented as well as to provide ideas and plans for improving operational efficiency in FY2022. This process began in FY2021.

In all divisions, the use of Information Technology (IT) has been promoted by reviewing workflows and also by switching to services used in many companies to improve efficiency.

#### 【General Counsel Office (GC)】

- Our early intervention in disputes has prevented possible litigation, leading to a cost reduction. Since employment-related lawsuits are common at OIST, by seeking cooperation and advice from the AHRs in charge of human resources and the Office of the Dean of Faculty Affairs, GC has potentially prevented numerous lawsuits.
- Contract templates have been reviewed and revised on a regular basis to ensure that OIST divisions are able to draft contracts efficiently.
- Whenever possible, attendance at court has been made via web, telephone, or other means for efficient time management.
- GC believes that education about human resources through seminars for divisional managers will lead to fewer disputes and lawsuits, resulting in future cost reductions.

#### 【Office of the CIO /IT Division (IT)】

- Through correcting configuration errors, unnecessary email notifications were almost halved for the person in charge of handling IT tickets. Furthermore, the various requirements of stakeholders were better understood and followed up on.
- IT documented internal processes regarding account setup, email management, networking, enterprise applications, etc. Previously, these required the knowledge, experience, and time of a limited number of staff members.

- IT improved its transparency for stakeholders by dividing the design and implementation of IT projects into multiple phases.
- Obsolete systems (i.e., research equipment database, on-premise type e-Front platform) that posed a risk to business continuity have been revamped.
- The following are the plans for the future.
  - OIST will deploy a new "Enterprise Service Desk" platform using ServiceNow (ServiceNow, Inc.) This will centralize the location where service requesters and providers interact at OIST.
  - The current document management system will be reconfigured with advanced search technology to improve the visibility of OIST-approved decisions within the OIST community.
  - IT will centralize services provided by different IT tools into 10 or fewer platforms (ERP, enterprise service desk, CRM, SIS, health management systems, etc.).
  - Off-campus connectivity will be improved to facilitate remote work from home.

**【Office of the Provost/Research Support Division (RSD)】**

- A new position, Core Facility Director, has been created to comprehensively manage the core facility, in addition to decentralizing the duties of the Provost, Assistant Provost, and Senior Manager of Research Resources.
- A Core Facility Steering Committee meeting has been established since January to incorporate faculty opinions regarding overall core facility operations. Meetings are to be held once a month for the initial six months.

**【Office of the Secretary General (SG)】**

- SG is taking the lead in utilizing Microsoft Teams, which has been in use since FY2021, to expand the use of it in collaboration with other divisions.
- In FY2022, the SG declared a paperless office and shifted from e-mail attached files to Teams uploaded files through sharing links. The system was also used as a tool for discussion and communication in the event of an approaching typhoon. In addition, the Teams group chat function was also used by graduate students in response to a maritime accident.
- The Conflict of Interest (COI) annual disclosure was continued in FY2021 using ServiceNow, which allowed respondents to submit with only two clicks to reduce their paperwork. The paper organization and management tasks of the person in charge could be reduced to zero.
- There are no specific ideas or plans for improving operational efficiency under consideration at this time. SG will continue the initiatives mentioned above.

**【Office of the Dean of the Graduate School (GS)】**

- GS continues to improve the efficiency of its operations. Specifically, further efforts have been made to improve operational efficiency through meetings led by managers and team leaders, and through mechanisms such as post-evaluation of OIST-all matters and events (e.g., admission, etc.) Through these efforts, the time required for admission procedures and relocation operations has been reduced approximately by half per student. Furthermore, achievements have been made in other areas, such as providing more appropriate matching in the assigning of students to research laboratories.
- Future considerations may include the efficient use of existing software to further enhance the alignment within the division and to ensure the best practices for business operations. Specifically, we are currently considering ways to utilize the ticket management system to respond to inquiries from students and faculty, as well as a way for onboarding of all staff members to improve their operational knowledge and cross-divisional communication throughout the Graduate School.

**【Office of the Dean of Faculty Affairs Office (FAO)】**

- The latest information on faculty members and unit members is registered only in the HEART system, and access to the information is restricted. From FY2022, AHR will download the information monthly to share within the Faculty Affairs Office, so that necessary information for evaluation work, such as the number of unit members and contract renewal date, will be readily available.
- When word documents or excel data are shared for editing with multiple people as attachments in an e-mail, it used to take time to merge, combine, and specify the latest version. Now Microsoft's SharePoint is used when appropriate.
- The switch from e-mail to "ServiceNow" made it possible to prevent missing responses, assign questions to the appropriate person, efficiently manage threads for the same question, and collect statistics on questions, thereby improving the efficiency of operations.
- As for the future,
  - When interviewing prospective faculty members, we used to set up approximately 10 interviews per candidate and it used to take a lot of time for this complicated process for each interviewee. We had to check each candidate's free time in Outlook, create a Doodle poll, request the poll by e-mail, confirm the Doodle poll to create and adjust the schedule, etc. Now we plan to start using MS Bookings as a new tool in FY2023 to shorten the time required for this process.
  - AHR will further utilize the IT Service Portal to create and build a knowledge-based system. We will not only manage inquiries, but also improve operational efficiency by providing tools which users can look up on their own.

**【Office of the Dean of Research(DoR)】**

- As for the Office of DoR, Professor Nick Luscombe took the position of the Dean of Research on October 1, 2022. Concurrently, in addition to the existing External Research Funding Section and Networking Section, the Conferences and Workshops Section from the RSD and the TSVP Program from FAO have recently been incorporated into the DoR Office. This reorganization has initiated a review of duplicate tasks and the establishment of a mutual cooperation system. Furthermore, visibility of DoR has been the least among the three Deans, so Professor Luscombe has taken the former Provost's well-known dog “Momo” as a mascot to promote DoR at OIST.
- The networking staff had to be flexible in shifting the format of symposiums and workshops to online or hybrid due to COVID-19. A manual was developed to facilitate smooth organizational shift of such new forms of symposiums and workshops. As a result, temporary employees were also able to set up hybrid format workshops with the help of manual documents and without any support from Information Technology Section staff.
- In the external research funding section, no major reforms were made to improve efficiency, but the occurrence of one person on childcare leave and the addition of one new hire prompted the redefinition of tasks to be handled by each staff member.
- In the future, we plan to do the following.
  - At the DoR Office, under the direction of Professor Luscombe, strategic planning workshops have been held four times. These were held to improve the interconnectedness and operational efficiency of the four divisions, as well as to redefine each task and to achieve results as one team. The organization and training programs have been handled by the Vice President for Strategic Implementation and her team. This has resulted in performing tasks in a structure that transcends sections. Improvements and cooperation have already been initiated, such as avoiding task duplication.
  - The networking staff made full use of project management platforms such as Microsoft's Teams and Asana to facilitate scheduling and file sharing.
  - The External Research Funding Section will study the possibility of using an automatic response system (chatbot) to inquire about items that can be purchased with the Grant-in-Aid.
  - The Conference and Workshop Section initiated the inquiry service with ServiceNow.

**【Office of the Technology Development and Innovation Center (TDIC)】**

- In FY2022, OIST continues to use software to improve work efficiency, using applications and tools such as Zoom (Zoom Video Communications, Inc.) and Teams (Microsoft Corporation) to facilitate communication. Asana (Asana, Inc.) is used to manage projects and tasks. Salesforce (Salesforce, Inc.) has also been introduced as a customer management tool. SurveyMonkey (Survey Monkey, Inc.) was used to streamline

the recruitment and review process for the Accelerator Program, resulting in approximately 50% workload reduction.

- In order to enhance the management of business contacts and improve the efficiency of Key Performance Indicator (KPI) tracking reports, all staff in charge of Technology Development and Innovation will input information into "Salesforce" beginning in FY2023.

**【Division for Financial Management(FM)】**

- In principle, bidding through paperwork has been abolished except in emergency situations such as disasters, and since September 2022 all the bidding at OIST has been switched to electronic bidding.
- For quotations, delivery slips, and invoices to be submitted for payment procedures, the company seal of the issuer can be omitted if the prescribed requirements are met (since October 2022). This has streamlined the administrative flow by eliminating the need to request the originally sealed documents, leading to a reduction of administrative burden on business partners.
- Online processing using ServiceNow has been introduced (since November 2022) for processing budget transfers and expense transfers, which used to be paper-based.
- The Electronic Bookkeeping Law was revised in January 2022, and all the accounting documents stored in paper form need to be switched to electronic storage. This issue will be considered in the future, along with the workflow review, which will be incorporated in the specifications for the next accounting system.
- Online processing will also be introduced for various budget-related items (newly created/change request at budget center, budget approver change requests, etc.).
- In order to improve operational efficiency for travel expenses, a working group has been established within FM to review rules and operations.

**【Building and Facility Management Division (BFM)】**

- In any work environment, improvement and maintenance of operational efficiency must be addressed through a continuous and fundamental effort by management, not necessarily through a certain plan or periodic/specific measures. At least once a week, the Vice President in charge of BFM and each section manager meet to review the progress of work and to identify issues. They then work together to resolve the issues as soon as possible. Project meetings are also held to review progress.
- OIST will continue to promote ongoing paperless and electronic operations, eliminating seals. These have been effective in significantly improving operational efficiency. In addition, OIST has been promoting workload equalization and operational efficiency by clarifying the scopes of duties and assigning responsibilities to the right people in the



right places. Examples include paperless processing of budget transfers between divisions and improvement of the online function of ServiceNow.

**【Communication and Public Relations Division (CPR)】**

- The Digital Content and Brand Design Section migrated all task management to Shortcut, an online agile task management platform, after transferring from Jira (Atlassian, Inc.) This enabled them to share task details to quickly and easily delegate and request for help.
- The Leadership Team continues to seek solutions for issues found in the areas of communications and marketing, such as unexpected, neglected, or overloaded tasks, in addition to tasks that require a waiting period, tasks with unknown dependencies, with conflicting priorities, with too many operational procedures and rework, etc. Efforts are being made to find solutions such as, "finding things not to do" and "avoiding overlapped priorities."

**【Human Resource Division (HR)】**

- Initiatives for FY2022 are as follows.
  - Division-wide target has been set to reduce overtime from the previous year.
  - Formed a cross-sectional team to promote business process improvement projects. In particular, the team promoted improvements to the onboarding process, campus approval process, HR website, and initial post-employment training.
  - As for the effects of the above, the total number of staff and temporary employees in the Division as a whole has been reduced by approximately three to four (in comparison with FY2021).
- Future initiatives are as follows.
  - Reduce division-wide overtime hours and continue cross-sectional projects.
  - Introduce best practices to OIST through working-level meetings with other universities and companies, such as Hitotsubashi University, Mercari, and P&G.

**【Office of the Vice President for Strategy Implementation (SI)】**

- The SI Office was established on October 1, 2022. Weekly meetings are held to discuss ongoing projects and to review progress on the high-level list. In the next few months, the team will consider whether there are any operational efficiency mechanisms that can be introduced.
- The VPSI has been developing a strategy for creating the Business Plan. By understanding the volume of work, for example, a schedule is made that reduces duplication of work, and when necessary, outsourcing is suggested so that the plan can be implemented while anticipating the coming workload and reducing the workload peaks. The SI Office was established quite recently, and VPSI is currently collecting preliminary materials.

**【Office of the Vice President for University Community, Child & Youth Services (UCS)】**

- The CDC database, a legacy created in Microsoft Access, was eliminated. Instead, the use of "Macro" started to automatically input invoices, reducing the number of working days by five days per month.
- Changed the CDC's snack purchases from San-A to the AEON OIST store, reducing the number of required working days required to purchase snacks by two days per month.
- To increase efficiency and flexibility in responding to user inquiries, the Resource Center implemented "ServiceNow" which is becoming a standard IT tool at OIST. Until recently, the Resource Center had been using Zendesk, and had not integrated it with other tools. Currently, "ServiceNow," well-known among OIST's staff and students, has improved user convenience.
- To make more effective use of internal human resources, UCS reviewed the allocation of tasks and reorganized overlapping ones. As a result, UCS was able to save 8,026,000 yen in personnel expenses for temporary staff.
- CDC implemented a childcare management system in February 2023. The system is expected to improve efficiency by centralizing information on preschool children and their families and minimizing double-entry work and human error. In addition, by digitizing the management of attendance records, which is currently done on a paper basis, the time and effort required to create attendance records will be eliminated. In addition, by digitally managing the arrival and departure times that parents handwrite, data analysis will become easier and more accurate, which will be useful to understand the status, improve services, and allocate personnel. The digital system is expected to serve as a supplementary tool to confirm that all children have arrived at preschool and to prevent incidents, such as parents leaving their children in their car.

**Auditors' opinions**

- In accordance with the operational features and characteristics of each division, all the divisions continued to be proactive in reviewing their workflows, combined with the use of Information Technology.

In the use of IT technologies, various divisions used to have OIST-customized software, but currently, the use of these custom software options has switched to the use of software that is widely used around the world. This has led to further improvement of operational efficiency.

Concurrently, under the leadership of OIST managers, all staff members should check in with each other, identify issues, and cooperate to solve problems as soon as possible, which, as a byproduct, enhances the sense of unity in the workplace.

In this way, continued proactive efforts are being sought.

The following is the message from the former Professor Skoglund, who retired as the Dean of the Graduate School in the end of March 2023,

- The institute where I worked as a full faculty member in the past (the former Professor Skoglund mentioned the name of the institute, which was decided not to be disclosed from the auditor's office) provided very little support compared to OIST. I think OIST is twice or three times more efficient for a researcher.
- I reckon that the other universities could learn from the OIST evaluation system.

As above, we have received provoking and useful comments from the former Professor Skoglund, to which the Auditors would like to express our deep appreciation.

(2) Response to labor shortage

Several Divisions continue to report that they do not have enough staff.

In an understaffed workplace, staff may feel exhausted, which could have an undesirable impact on the mental and physical health of the employees, the Divisions that they support, and ultimately on the University as a whole.

The Auditors reviewed the current actions being taken by the Divisions regarding the manpower shortage, as well as ideas and strategies for the future.

Many Divisions mentioned the use of temporary staff, outsourcing to external vendors, and the utilization of information technology.

**【General Counsel Office (GC)】**

- There is currently no particular shortage of labor.
- Currently, external attorneys and others are still being utilized, and will continue to be utilized as needed in the future.

**【Office of the CIO/IT Division (IT)】**

- The actions taken in FY2022 are as follows:
  - Staff knowledge and skills were evaluated, and tasks were redistributed to allow staff to engage in new tasks.
  - After the reorganization, the Division conducted handovers of operations and made efforts to eliminate unnecessary tasks by reviewing systems that had duplicative functions.
  - Since the second half of FY2020, simple and other tasks have been outsourced as much as possible, and the budget for outsourcing has been increasing every year.

- Considerations and plans for the future are as follows:
  - In order to reduce the amount of effort and time that certain highly skilled staff members devote to administrative, procurement, and other tasks, the Division is considering identifying, reviewing, and restructuring their job descriptions and allocating certain tasks to staff in other positions wherever possible. To do so, there is a need to better clarify the cost-effectiveness of IT projects/processes and plans to create a cost coordinator/manager position.
  - The use of external consultants is being considered to optimize the processes/systems/projects.

**【Office of the Provost/Research Support Division (RSD)】**

- Temporary staff are being hired and work priorities are being reviewed.
- Looking ahead, the Division filed an additional PEREX application to the Upper Management Meeting in December 2022. Regarding the conclusion of Material Transfer Agreements (MTAs) with academic institutions, the Division has generally agreed with the Office of Technology Development and Innovation to limit the MTAs to those that are truly necessary in relation to IP protection and is finalizing the practical aspects.

**【Secretary General (SG)】**

- When staff members were on leave, temporary staff were hired to cover for them.
- Currently, the Rules and Compliance Section has one seconded staff member from the University of the Ryukyus on a two-year contract but replacing this position with an internal staff member is planned for FY2023 and beyond.

**【Office of the Dean of the Graduate School (GS)】**

- As indicated in the response to (1) Improvement of Operational Efficiency, the Division's workload is continuously estimated and sections support each other's work (e.g., acceptance of new students, organization of graduation and entrance ceremonies, etc.) as needed. Furthermore, the number of personnel and the staffing structure are continually evaluated in anticipation of future workloads.
- The Division is looking for ways to improve work efficiency through software implementation (e.g., automating data entry with a bot) and reduce staff workloads in the future. The high percentage of temporary staff in the Graduate School remains a concern, and the need to hire more PEREX staff is high for the following reasons:
  - High turnover of temporary staff.
  - Considerable time is required to train new employees.
  - The loss of the wealth of experiential knowledge held by a long-term temporary staff members who leave because of a lack of professional development opportunities.

**【Office of the Dean of Faculty Affairs (FAO)】**

- A new section, the Faculty Recruiting and Evaluation Section, was created in FY2022. The section held regular section meetings to discuss whether there was any duplication of work or information that should be shared. As a result, it was found that the section's work can be handled by sharing information on a daily basis and dividing duties as needed. Regular meetings will continue to be held in the future to provide an opportunity to learn about each team's work procedures and share ideas for future improvements.
- The contract of one of the Faculty Evaluation Team members was changed to a service contract, and she will continue to work remotely until the end of the year, but some of her duties will be supported by staff from another section on an interim basis until a replacement is found.
- As mentioned in section (1) Improving Operational Efficiency, ServiceNow was implemented for the Academic Human Resources (AHR) operations.
- All teams will continue to request support from another team within the Division during busy periods.
  - The Academic Human Resources Section will continue to work with the Human Resource Division to continue to study the paperless approach to operations.

**【Office of the Dean of Research (DoR)】**

- The Office of the Dean of Research is in the process of developing a strategic plan for the Division through a strategic planning workshop with the addition of two sections, as previously mentioned. The plan will also include streamlining duplicated tasks and defining staffing needs and recruitment plans.
- The networking team watched tutorial videos that introduce work efficiency during weekly team meetings and has carefully selected the most appropriate applications for their work. In addition, work from home has been utilized to improve work efficiency through effective communication between telecommuters and non-telecommuters by sharing the progress status so that work can proceed smoothly even when the OIST Tedako Child Development Center (CDC) or local daycare centers are closed.
- The Grants and Research Collaborations Section focuses on improving the efficiency of operations within the section. Specifically, the RACI matrix clarifies key tasks, including who owns each task and which members work on it.
- The Office of the Dean of Research will clarify the scope of work that can be done with the current number of staff. Looking at the entire administrative organization, the number of staff in the Office of the Dean of Research is small. The work related to the acquisition of large-scale external funds, such as the COI-NEXT grant, is also increasing, and the current number of staff and the scope of work are not in balance. Negotiations will continue.

**【Office of Technology Development and Innovation (TDIC)】**

- While assessing business needs and balancing the duties of each staff member, TDIC will proceed quickly to hire for vacant positions. If additional staffing is needed, TDIC will apply for new hires.
- While With regard to the need to reduce workload and reinforce the workforce, TDIC is working to streamline the work process through the use of software. If labor shortages become severe, consideration will be given to setting limits on the number of new projects and tasks to be handled.

**【Division for Financial Management (FM)】**

- The Division is improving the efficiency of regular operations, reviewing operations as described in (1) Improvement of Operational Efficiency, and receiving support from other teams as needed.
- In order to improve operational efficiency with regard to travel expenses, a working group has been established within the Division to review rules and operations. In addition, by integrating teams within sections, the Division is able to manage personnel from a bigger-picture perspective.
- Continuing from the previous fiscal year, the Division will promote Digital Transformation (DX) of contracting procedures and streamline regular operations to make up for the shortage of manpower.
- The Division will promote the digitization of applications that are currently paper-based (e.g., fixed asset transfers, invoicing requests, etc.).
- As a result of personnel replacements and the increase of new staff, the division of roles between the Division for Financial Management and the Requestor Divisions in administrative processing and procedures, which had been clear in the past, has become unclear, and there is a tendency for more duties to be assigned to the Division for Financial Management. This is causing increased stress and friction. The Division is reviewing the division of roles and streamlining procedures to improve efficiency.
- There are often cases where the workload and stress level of the Division for Financial Management increases due to differences in the level of awareness of Policies, Rules and Procedures (PRP) and other procedural details among the staff of the requesting Divisions. The Division for Financial Management would like to strengthen coordination and cooperation with other Divisions to try to raise the level of awareness.

**【Buildings and Facilities Management Division (BFM)】**

- The Campus Building Section (CBS) is not understaffed due to the hiring of a long-sought mechanical and equipment construction manager; the Facilities Operation and Use Section (FOU) had a retiree in the spring of FY2022 but was successfully replaced in

November 2022.

- The current scope of work can be handled by the existing staff, however, since the Budget and Contract Management Section (BCM) is a newly established section, it may be necessary to revise the staffing plan depending on the situation when new responsibilities increase (or decrease) due to the reorganization of work in the section.

**【Communication and Public Relations Division (CPR)】**

- Division has optimized the use of Microsoft's "Office365" to reduce information gathering time and improve the overall organization, sharing, and management of information.

For some tasks (e.g., writing, editing, translating, interpreting, designing), CPR is outsourcing to alleviate current pressures. However, the time it has taken to hire a director and science writer has put additional pressure on team members.

In CPR, members talk openly about the importance of prioritizing mental and physical health, but naturally, these efforts need to be backed up by action and modeled with good leadership. The management team bears the brunt of the excess workload.

The CPR leadership team is concerned about this question in FY23 due to cuts in budget and two team members being on maternity/paternity leave. As an organization, OIST needs to genuinely examine our health and well-being programs and support.

**【Human Resource Division (HR)】**

- As for efforts in FY2022 to address labor shortages, HR promoted [as in (1) Improvement of Operational Efficiency) business process improvement and strategic use of external resources such as service providers and temporary agency workers.
- Efforts for the future include the continuation of the FY2022 efforts, as well as further building of training programs and securing of next-generation human resources in a more defined manner. In particular, HR will elaborate succession planning in key positions and change the organizational design for tasks that are too fragmented.

**【Office of the Vice President for Strategy Implementation (SI)】**

- The team is too small to handle the number and complexity of activities which fall within our remit – VP, project manager, and a temporary administrative assistant. The administrative role is currently vacant. To stabilize the team and access a suitable candidate pool, VP has asked for the temporary administrative role to be converted into a PEREX. Currently the workload is manageable, but it may become necessary to delay some projects which are not time critical until staff are available to work on them.
- Through project planning, the Division estimates the resources which will be required to carry out a project and whether these can be provided internally or should be sourced externally, (e.g., to provide specialist expertise on a short-term basis). For example, VP has

included a request for consultancy services in the FY2023 budget to support strategic implementation projects. The Division is also developing a strategic plan for the Office. Feelings of exhaustion on the part of staff throughout OIST could be reduced through the introduction of a process for agreeing and communicating the university's strategic priorities on a short and medium-term basis. This will enable better planning of resources and reduce the instances when staff are subject to conflicting demands at short notice.

**【Office of the Vice President for University Community, Child & Youth Services (UCS)】**

- The Ganjuu Wellbeing Service hired a temporary staff member to replace the staff member who left in March 2022. In addition, an outsourcing contract was signed so that staff who could not enter Japan due to the COVID-19 pandemic could provide services remotely.
- The Language Education Section hired a new full-time Japanese teacher. In addition, the number of English teachers was reduced from two to one by reducing the number of specific English classes and replacing them with general classes. The shortage of English teachers has been compensated for by utilizing a staff member within University Community, Child & Youth Services who has specialized skills in English education twice a week in the morning.
- CDC is further deepening its partnerships with vocational schools and universities in Okinawa that offer early childhood education, and in FY2022 accepted six vocational school students who aim to become childcare professionals and four volunteer interns from Okinawa Christian Junior College.
- The Resource Center is enhancing its online content more than ever. For example, simple processes such as how to use an ATM or how to apply for a My Number Card will be made available online as much as possible in the form of manuals and video tutorials so that users can solve problems without having to contact Resource Center staff directly.

**Auditors' opinions**

- Most of the divisions were proactive in their efforts to address labor shortages, and some divisions combined their efforts with the use of Information Technology, as mentioned in (1) Improvement of Operational Efficiency.

Unfortunately, the shortage of manpower or the sense of manpower shortage cannot be solved or eliminated overnight, and in fact, it may even increase as the depth and breadth of work expands.

Continued efforts, including trial and error, are strongly encouraged.

( 3 ) Management of task progress



The management of task progress is important for improving work efficiency and for preventing unreasonable or wasteful work. For this reason, the Auditors checked with each division to see if there are any mechanisms in place to manage the progress of work and to see what actions are taken if the work is not progressing as planned.

Many of the divisions mentioned that they hold meetings and conferences to understand and share information, but more divisions are also using IT tools for this purpose.

**【General Counsel Office(GC)】**

- In addition to holding regular weekly meetings, emails are exchanged, and information is shared as needed.
- All of the work by the Office of GC has a due date, which has never been missed.

**【Office of the CIO /IT Division (IT)】**

- IT Gated Process, which is a standard process for project progress management, was established and put into operation in this fiscal year. Weekly or biweekly progress is checked with each staff member at section meetings and at one-on-one meetings in order to compare it with the schedule.
- If there is a delay in the progress of a project, we first identify the cause of the delay, and then we consult within the division to determine actions to be taken considering the cause. For example, if a hardware delivery is delayed, IT makes inquiry to their vendor while considering whether spare equipment can be substituted or whether the IT requirements can be covered technically.

**【Office of the Provost/Research Support Division (RSD)】**

- Each section has regular end-user group meetings, and the section leaders receive feedback from the end-users on the service delivery status. In addition, the Provost, Core Facility Director, and Assistant Provost receive reports directly from faculty as needed.
- The Provost, Core Facility Director, and Assistant Provost participate in regular meetings of the related sections to manage the work progress and to coordinate priorities and resources.

**【Office of the Secretary General(SG)】**

- A weekly managers' meeting is held to report on the progress and challenges and to provide necessary advice. The structure for each section is as follows.
  - Governmental Relations Section  
Three section members meet every day to discuss work progress. After clarifying the scope of roles within the section (with the primary and secondary responsibilities decided), the manager then understands work content, work speed, progress, etc. of

each staff member. In addition, all three staff members communicate daily to understand and manage progress.

- Rules and Compliance Section

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

- Internal Audit Section

Regular section meetings are held once a week to report on business progress, exchange opinions on operations, share issues, and discuss solutions.

- Occupational Health and Safety Section

Regular section meetings are held once a week to report on the progress of each assigned task and share information on safety and legal compliance.

- Health Center and Clinic

A daily morning meeting is held to report on the progress of each assigned task, share information, exchange opinions on patient care and issues, and to discuss solutions.

- Always the priority for the work is clarified to best address pressing issues. Factors considered include the level of importance, due date, amount of work, and the number of man-hours required for coordination with other divisions. Depending on the case, if the work is not progressing as expected, the due date is extended, or parallel work is stopped to concentrate on the delayed work. The following is the approach taken by each section.

- Office of SG, Government Relations Section, and in Rules and Compliance Section

There has never been a time when the assigned work was not in progress.

- Internal Audit Section

Due to a staff member taking parental leave, there was a schedule change on the internal audit plan.

- Occupational Health Section

When non-routine work such as an accident response occurs, work is coordinated within the section so that normal work can be continued.

- Health Center and Clinic

When there are non-routine tasks, such as workplace vaccination, regular work is coordinated within the section so that normal operations can be continued.

**【Office of the Dean of the Graduate School (GS)】**

- The GS organizational structure is closely linked to the goals of the business plan. Section managers review their section's progress, and the Deputy Dean tracks the division's progress. In addition, the Dean ensures that the GS's overall goals are aligned with those of the executive management.

- Section managers meet with staff on a weekly or monthly basis to provide feedback to staff and to coordinate their work.

**【Office of the Dean of Faculty Affairs(FAO)】**

- Microsoft "SharePoint", Excel tables, and meetings are used to manage and share work progress.
- If a staff member is working too much overtime, the Human Resources Division is contacted to resolve the problem.
- Section leaders are expected to consult with the DFA when work is not progressing, but there have been no situations where necessary work has not progressed.

**【Office of the Dean of Research (DoR)】**

- The networking team uses Asana, a platform that facilitates project management, and also uses the symposiums/workshops schedule sharing with the help of IT. As a result, the team is able to manage events, not only within the team, but also with counterparts in other sections. This has led to a reduction in email, as well as increased efficiency by sharing delayed work information so that required support can be provided. This platform also facilitates teamwork, and since it provides easy-to-see tables at a glance, showing who has the most workload allows the team to distribute work more efficiently.
- In the External Research Funding Section, the responsibilities of each task are clarified as noted in "(2) Addressing staffing shortages." The manager points out operations that have not fully been accomplished during individual interviews. Each staff member prepares a weekly report to visualize the status of work performed by themselves. This status can be shared with others, and through this weekly report, major operations and tasks are managed on an almost weekly cycle. The manager keeps track of the yearly schedule of major tasks for the entire section.
- In terms of work progress, networking staff had a difficult time getting event contractors to respond to some workshops that were changed from online to on-site at the last minute. The entire number of events in Okinawa Prefecture has been increasing, and there were cases where event contractors refused to support some research workshops. Prompt identification of vendors that can handle the event by utilizing external cloud quotation services is required.
- In the External Research Funding Section, when delays in work are observed, the causes of the delays are identified, and the number of related staff gets temporarily increased, or the person in charge gets newly allocated. For example, the number of staff in charge has been increased during periods of high workload due to the applications for Grants-in-Aid for Scientific Research.

**【Office of Technology Development and Innovation (TDIC)】**

- The following methods are used to check work progress; (a) project management through Asana, an online tool, (b) Salesforce, a customer management tool, (c) regular managers' meetings (daily), (d) managers' meetings (weekly), (e) section meetings (weekly), and (f) TDIC general meeting (monthly). In particular, the introduction of "Salesforce" has dramatically improved the management of KPI achievement status for Technology Development and Innovation staff.
- The work of each section in charge of technology development and innovation has some overlaps, depending on the technology. If progress stalls, the managers determine if additional staffing and formation of ad-hoc teams may be required to accomplish the work. Through ad-hoc teams, projects have been completed through the Proof of Concept program, the Startup Accelerator Program, and the OIST-Lifetime Ventures Fund.

**【Division for Financial Management (FM)】**

- The FM structure consists of multiple sections under the Vice President, with a team leader assigned to each team within the section, to which a certain degree of 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.
- A schedule of major tasks is stored in a shared folder to display the progress for staff members.
- Regarding delays in travel services due to the staff shortage, announcements have been made throughout OIST regarding travel-related operational delays, and the use of temporary staff was implemented as appropriate.

**【Building and Facilities Management Division (BFM)】**

- Refer to (1) Improvement of operational efficiency
- Data are centralized, shared, and managed as much as possible, and progress is managed by allowing each staff member to access common and shared resources for performing each task. Assignments are made according to the nature of the work, and after each task is handled or completed, the task is transferred to a designated shared database. The system is designed to objectively identify tasks that have not been handled or that are in progress.
- BCM implements time management rules within the section for work that has not been handled or has not progressed properly. For example, if an hour has passed with no response or progress, as needed, the assignment of responsibilities is changed according to the workload of individual staff members.

**【Communication and Public Relations Division(CPR)】**

- Work progress is reviewed through regular communication, including daily and weekly team meetings, one-on-one meetings, and bi-weekly leadership meetings. In addition, CPR uses tools such as "Shortcut," Fog Creek Software's "Trello," Microsoft's "SharePoint,"

"Planner," and "Outlook" to track work progress.

- When a task does not progress well, managers and members try to understand the situation (e.g., changing priorities, unexpected vacancies, etc.) and work out solutions together.

**【Human Resources Division(HR)】**

- As a mechanism for managing work progress, weekly management staff meetings are held to monitor work progress in all the sections.
- In the event that work has not progressed, the basic policy is to strengthen the inter-sectional cooperation. In cases where cooperation from other divisions is required, the HR Vice President discusses the issue with the person in charge of the related division. As an example, the lack of short-term housing for new employees was addressed by encouraging a collaborative meeting with the BFM housing section to find a solution to effectively use some housing space.

**【Office of the Vice President for Strategy Implementation (SI)】**

- SI lists ongoing projects and discusses them at weekly team meetings. In addition, action plans for specific projects have been developed and reviewed on a regular basis. A three-year strategic plan is currently being developed, which will help the team plan its workload. The SI Vice President monitors work hours when approving staff timesheets, records overtime work hours, and discusses with the team member reasons for any recurring patterns of overtime work.
- If a project is not on schedule, the reason is identified and addressed at weekly team meetings. For example, the Quantum Technology Certification Program is behind schedule because critical input from other divisions is being sought. The SI Manager is working with other members of the project team to identify actions that will maintain progress, taking the initiative to send reminders for any outstanding actions.

**【Office of the Vice President for University Community, Child & Youth Services (UCS)】**

- The Resource Center uses tools such as ServiceNow to manage inquiries and Microsoft Teams to check work progress and enable information sharing.
- At UCS, work progress is shared regularly at section meetings.
- The manager of each section checks progress and meets with the staff member in charge when any delay occurs to find the cause of the delay and to resolve it promptly.

**Auditors' opinions**

- Auditors commend that more and more divisions have been proactively utilizing IT tools, not only to understand, share, and manage information, but also to flexibly respond to changes and modifications, and to improve operational efficiency and solve manpower shortages.

While it is not necessary for small divisions and sections that can easily share their information to go all the way to implement new IT tools, it is still desirable for them to make active and effective use of IT tools, while referring to the existing examples of ingenious use of IT in other divisions.

(4) Management of budget execution

Budget execution management is critical to the proper execution of the budget in a given year. The auditors reviewed the status and prospects of each division's budget execution management for FY2022, as well as areas for improvement in execution management.

In FY2022, no problems were found in the budget execution management.

On the other hand, some Divisions continued to mention budget execution from sources other than grants and multi-year budget management.

**【General Counsel Office (GC)】**

- Budget execution for FY2022 is on schedule unless there are unexpected lawsuits in the future.
- Since it is difficult to predict lawsuits, it is impossible to control budgets generated by new lawsuits.

**【Office of the CIO/IT Division (IT)】**

- The FY2022 budget has been managed by team members who have worked hard to balance the budget with the execution of the project, despite the limited resources available. At this time, the Division anticipates executing on license fees, telecommunications, hardware, Lab5 equipment, etc., while leaving some room for emergencies.
- The Division would like to devise notes and other means of managing budget execution so that the execution details on HEART can be easily compared with the budget table.

**【Office of the Provost/Research Support Division (RSD)】**

- The full amount will be executed as planned.
- RSD believes that once funding is secured for the additional PEREX approved at the Upper Management Meeting and new hires are available, RSD will be able to spend more time analyzing the budget to improve the accuracy of budget management. (Not much time is being spent on this right now.)

**【Office of the Secretary General(SG)】**

- Auditors reviewed the table with detailed explanation of budget execution submitted to the Budget Section on December 21, 2022, after the FY22 Year-End Review and found no problems.)

- Domestic Travel Expenses:
  - Division members, including the Secretary General, are encouraged to purchase inexpensive non-changeable tickets for itineraries that are not expected to change. In addition, when guests meet the conditions of use, they are encouraged to use a chauffeur-driven university vehicle for transportation from Naha Airport to the campus, rather than a cab.
  - For outside assignments departing from and returning to campus, Division members are encouraged to use University vehicles rather than their own personal vehicles.
  - The Division proposed to the Division for Financial Management a review of the provisions for per diem and lodging reimbursement in the travel expense regulations. Below are some of the suggestions:
    - Proposal 1: Is a "per diem" really necessary in addition to salary?
    - Proposal 2: Is it necessary to provide lodging for employees whose homes are within commuting distance of their place of business?
    - Proposal 3: It would be better to set an upper limit for lodging expenses and reimbursement of actual expenses.

**【Office of the Dean of the Graduate School(GS)】**

- Although student travel has increased and become more difficult to predict compared to the previous fiscal year, the Division is in close contact with the Budget Section to ensure that the Division receives allocations according to budget execution.
- The Division will continue to strengthen communication within the team to promote mutual understanding of priorities and tasks and improve budget management.

**【Office of the Dean of Faculty Affairs (FAO)】**

- Despite tight budgets in FY2022, the Division managed to find funding within the Office of the Dean of Faculty Affairs and the University to carry out essential tasks. Due to the weak yen, the budget situation was particularly difficult for the library, which has a large budget requirement. FY2023 is expected to be even more difficult than FY2022.
- Operations at FAO are essential to the University and cannot be reduced.

**【Office of the Dean of Research (DoR)】**

- The networking team is on track to execute almost as planned after the mid-term budget review, but some virtual events have been changed to be held onsite and budgeting for unscheduled events has been difficult.

One point that can be improved in budget execution management is that it would be leaner if budget execution could be done from sources other than subsidies due to the difficulty of managing the budget for events in compliance with the COVID-19 measure.

- The Grants and Research Collaborations Section reviews the Section's budget at interim

reviews to verify and review execution. Budget staff in the Office of the Provost appropriately manage the budget by increasing the amount of any shortfalls and decreasing the amount of any anticipated surpluses.

In terms of execution management, it would be a good idea to remind managers to conduct similar mid-term reviews and reallocations in other sections to ensure appropriate budget execution.

**【Office of Technology Development and Innovation (TDIC)】**

- TDIC worked with the Budget Section several times throughout the year to check the status of budget execution. This frequent analysis allowed TDIC to better manage its budget and prevent overspending / underspending.
- Budget execution can be improved with the ability to budget for multiple years. Multiple-year budgeting allows for better project planning and ensures that new initiatives have stable funding in the beginning.

**【Division for Financial Management (FM)】**

- The execution of the budget allocated to the Division for Financial Management (approximately 131 million yen) was reviewed in September, November, and December 2022, and all will be executed as planned.
- There are no specific areas for improvement in budget execution management.

**【Buildings and Facilities Management Division (BFM)】**

- Regarding the budget execution status of each section, the Budget and Contract Management Section (BCM) uses the OIST accounting system (HEART) and BCM management book to carry out daily execution and inspection of the entire division to budget, monitor, advise, and make recommendations. In addition, at Interim reviews (Midterm, 2nd midterm, Year-end), the Division summarizes the budget execution status and prospects for each section, and coordinates with the Budget Section. The current fiscal year's budget execution management is in good status, and there are no problems. The operation method and utilization of the BCM management book is reviewed and improved every year, so as to realize efficient and improving stewardship.
- Since BCM has just been established as a new section, budget-related operations have not yet been organized within the Division, and budget execution management and system processing have not yet been centralized. Additionally, there are complex expenditure and income-related processes and coordination with related sections that BCM has not yet grasped. The Division believes that further streamlining of operations and improvement in governance will be achieved by grasping the budget-related operations within the Division and organizing them by assigning, taking over, or transferring them to the right person in the right place.



### **【Communication and Public Relations Division (CPR)】**

- CPR's planned small projects have/are progressing well (i.e., the Science Festival).

Unplanned projects are challenging, but the Division has managed well.

The budget cycle makes it impossible to do multi-year/long-term projects. For example, CPR updated its website, but has not updated Groups due to the budget issues. Further, it is problematic to move items to a different fiscal year even if it is logical for other reasons.

- When the Divisions have to make budget cuts, the executive team should discuss the consequences so that they understand and agree to the consequences. Otherwise, the same points from last year hold.

Clearer rules (some are contradictory) are needed. 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 Division (HR)】**

- Section leaders manage daily spending and Division-based holistic review is held periodically with help by the Budget Section. Budget execution is expected to be 100%.
- Improvements in budget execution management: Based on OIST strategy, the university needs to set PEREX targets by division and delegate management authority to each division leader.

### **【Office of the Vice President for Strategy Implementation (SI)】**

- FY2022 Budget execution is on track. VP does not anticipate any overspend or significant underspend this year.
- It would be very helpful to be provided with actual spend figures against budget at periodic intervals (monthly or quarterly) and, in any case, at the mid-term budget review. It would be helpful, and improve the accuracy of budget execution, if there was more discussion of the overall university budget and how priorities are decided.

Budget execution management would also be improved if there was a multi-year budget plan which was developed in the context of university strategy. OIST's government funding is committed annually, but this is not a unique situation and does not preclude multi-year planning (e.g., a 5-year budget plan), with annual budget setting. The Francis Crick Institute, for example, operated in this way and, similarly to OIST, its funding was only committed annually.

### **【Office of the Vice President for University Community, Child & Youth Services (UCS)】**

- Budget execution rate (excluding temp staff expenses) as of December 19, 2022, was 71%, compared to a target budget execution rate of 75% (9/12 months) as of December 31, 2022, and temp staff expenses were 55% of the target budgeted execution rate of 58% (7/12 months);

the difference is due to the timing of invoices from temporary staffing agencies).

Budget execution is on track as planned.

- On the other hand, 814,000 yen was returned in the Year-end Review. Most of the refunded amount is the budget related to the retired Director of Recreation Services (at the end of January 2023). 705,000 yen for expenses was related to overseas business trips and events.
- At UCS, monthly budget execution status is shared at monthly division meetings. In the future, in addition to the annual budget review, there will be more opportunities to meet with each section leader so that information can be shared and addressed in advance, such as when there is uncertainty in budget execution.

#### Auditors' opinions

- Budget execution management is judged to continue to function adequately in FY2022 within the current framework.

Some Divisions mentioned the need for budget execution from sources other than government subsidies and multi-year budget management, while the Office of the Vice President for Strategy Implementation presented the example of the Francis Crick Institute, which plans its budget over multiple years even though subsidies are provided on an annual basis. This is worthy of attention at the University, where many Divisions wish to manage their budgets over multiple years.

#### (5) Coordination between divisions

As the size of OIST has grown, coordination between divisions has become increasingly important for the university.

In order to ascertain the status of coordination, the Auditors reviewed cases of coordination among divisions that were deemed to have "gone well" or "not gone well".

Most divisions were judged to have "gone well," but there were some divisions which mentioned ways for future improvements.

#### 【General Counsel Office (GC)】

- The collection of evidence for court trials and preparation of witness documents are not carried out directly by GC, instead by other divisions that work closely with the responsible divisions and sections. In particular, HR and AHR of FAO have been working closely with GC, providing tremendous help at court trials.
- We will continue to keep in close contact with HR and AHR of FAO.

#### 【Office of the CIO and IT Division (IT)】

- When a request to implement a ticket management system comes from the divisions that handle user inquiries, including Conference Workshop Section, Resource Center, and FAO, IT was able to deploy ServiceNow.

In addition, in the face of the depletion of HEART PRO license due to the budget cuts, the target number of license cases was reduced to approximately 20 owing to cooperation of the administrative divisions.

- In addition, the paper-based budget and expense reimbursement forms were converted to electronic forms in cooperation with the budget section.

On introducing e-mail Multi-Factor Authentication (MFA) to research offices/divisions/sections/units, insufficient announcement caused confusion among the users immediately after the MFA implementation. Though TIDA announcement had been made multiple times, the announcement did not reach some faculty and research members since they did not check TIDA. Accordingly, IT will improve the way such information is provided in the future, for example, by notifying users via e-mail with [research-all@oist.jp](mailto:research-all@oist.jp) etc.

**【Office of the Provost/Research Support Division (RSD)】**

- In organizing the newly initiated Provost's Lecture Series, RSD coordinated with various divisions and sections, including the President's Office, FM, and CPR. Three professors gave lectures from November to December 2022. Prior coordination was made with CPR, which produced the excellent lecture posters that were given as commemorative gifts to the lecturers.

Several cross-divisional meetings were held to confirm the overall budget allocation and execution status of CAPEX by calling on BFM and IT which execute CAPEX budget along with RSD and FM in charge of overall budget execution. This enabled the sharing of information on the status of CAPEX budget execution for the current fiscal year and also for the following fiscal year.

- There were no specific examples of insufficient coordination among divisions which was deemed as "room for improvement".

**【Office of the Secretary General (SG)】**

- Cooperation with the other divisions/offices is smooth on a daily basis and there is nothing to be noted.

- The following are the mainly recognized coordination-related achievements of SG in FY2022.

- COVID-19 response

Especially among core COVID-19 working level groups, including the Health Center, HR, BFM, Provost's Office, and CDC, COVID-19 situations have been followed up closely with the OIST infection status (including CDC), along with the status in Japan

and Okinawa. In addition, the government and prefectural response policies were closely disseminated. This led to a relaxation of behavioral restrictions at the end of November 2022.

- Graduate student marine accident response (Date of occurrence: October 9, 2022)  
To take a consistent response to the student's parents, the campus community, the Okinawa Coast Guard, Onna Village (for funeral services), and the foreign diplomatic mission in Japan (for procedures of transporting the remains), a working-level response team of the related divisions was formulated, and when needed, chat function of Microsoft Teams and Zoom were used to share information. The response policies were formulated and shared smoothly and efficiently. The parents of the deceased student were able to return to their home country with the remains on the dates they requested.
- The on-site proposal from the Health Center was immediately escalated to the President for approval. Providing the instructions to the concerned sections at OIST, procedures related to health authorities took place while revisions to the OIST Bylaws and the subsequent procedures (from approval by BOG and BOC to accreditation by MEXT) were consistently implemented. This took place while instructing the related sections and was finally disseminated to the entire OIST community.

**【Office of the Dean of the Graduate School (GS)】**

- Regular meetings with the other divisions have been held to continue constructive and purposeful collaboration. By promoting constructive dialogues among the divisions and proceeding the operations based on each party's recommendations, GS has been able to resolve issues in the early stages of collaboration.

As a specific example, GS heard that the meeting in collaboration with the OIST Student Council, traditionally by GS, has been succeeded by BFM staff, leading to effective management.

**【Office of the Dean of Faculty Affairs (FAO)】**

- Meetings with the Provost and Dean (Provost-Deans meetings) are held more frequently, once every two weeks, to improve communication between the divisions.

The Provost's Office used to contact the relevant sections to compile the materials to be prepared for the unit review, which has been taken by the evaluation team since FY2022. The template has been improved and shared via Microsoft SharePoint, and the work has been made less time-consuming through direct entries by the person in charge. In addition, the workflow was improved so that the unit leaders can directly contact the section in charge to confirm facts, leading to worktime reduction.

AHR worked with the management team in charge of human resources to minimize the number of approvers involved in hiring and renewing contracts. (2) AHR established an

efficient cooperative system by consolidating requests for cooperation from RUAs, instead of requesting directly from each section of FAO, and (3) discussed with the management team in HR the possibility of paperless offer letters/contracts.

- As for collaborative adjunct professors from other universities, there could be some areas for improvement, and improvements are expected through the Provost-Deans meetings.

Currently, university collaborative reports are often completed by exchanging confidential information via e-mail. However, since Microsoft's "SharePoint" is not available to off-campus members, it would be beneficial if the administration side could set up a system such as "SharePoint" or "Dropbox", so that both on- and off-campus members can use the system in meetings they participate in.

#### **【Office of the Dean of Research (DoR)】**

- As for networking, the "KEIO International Summer Camp," which welcomed medical students from Keio University for a week in August 2022, was a success with the cooperation of almost all the administrative divisions and research units at OIST. As a result, the collaboration with Keio University has been further deepened, and a request was made for a long-term research internship program. In addition, we had to host a kick-off event at short notice due to the acquisition of large-scale external funding (COI-NEXT). DoR was able to proceed with the work quickly in collaboration with the related teams in charge of technology development and innovation and the Conference and Workshop Section, which has recently joined DoR. The event was able to proceed quickly and efficiently.
- The External Research Funding section had no newly coordinated cases in FY2022.
- There were no instances in FY2022 where coordination with other divisions was deemed "have room for improvement".

#### **【Office of Technology Development and Innovation (TDIC)】**

- The following five examples of successful collaboration between TDIC and other divisions. (1) collaboration with the Office of the President in the venture capital fund established in May 2022, (2) collaboration with BFM in the operation of the incubator facility and in securing budget for the construction, (3) collaboration with the GS for holding a beginners' seminar on intellectual property for the first-year students (4) collaboration with the DoR in the application and adoption of "COI-NEXT," OIST's first large-scale research support program, and (5) collaboration with CPR and FM in organizing the 33rd Okinawa Round-Table Conference at OIST.
- In order to enable companies and start-ups to take advantage of OIST's facilities and equipment, the Office is considering collaborating with the Research Support Division in the future.

**【Division of Financial Management (FM)】**

- Worked with BFM to revise the provisions of lower bid amount in the Contract Management Stipulations (September 2022).
- Worked with FAO to organize a workflow and schedule for the reimbursement of research intern allowances (October 2022).
- Checked with BFM to organize workflow for future title registration (December 2022).
- No cases of "have room for improvement" in coordination with other divisions were observed.

**【Building and Facilities Management(BFM)】**

- As a result of coordination with the Procurement Section, it is no longer mandatory to affix a seal to original acceptance documents (quotations, invoices, and delivery slips), and documents received via e-mail can also be treated as originals, so paper documents are no longer required with some conditions.
- HMS is working to improve its relationship with GS and recognizes that student-related issues have room for further improvement in the future. The FOU is working closely with the Space Allocation Committee (SAC) to address concerns regarding space allocation and availability.

**【Communication and Public Relations Division (CPR)】**

- The Vice President of CPR works with the other divisions on a regular basis. Cases judged to have "worked well" include the following.
  - A series of events, including the 10th anniversary celebration in May 2022, were successfully implemented through repeated discussions and progress checks in cooperation with the President's Office, SG, and other divisions.
  - In unveiling the redesigned website, CPR staff worked with all the divisions and sections of OIST. In addition, by collaborating with faculty members in the creation of research tags, the website is now organized by research field, not by OIST divisions/units, through which the cross-disciplinary nature of OIST is presented.
  - CPR worked closely with TDIC and FM to host the Konwakai (Okinawan business roundtable meeting) in January 2023. A small oversight committee and working group were formed to plan and implement the event, and this style was very productive and will be utilized in the future.
- Science outreach is divided between the Community Relations Section and the GS. Although it is being handled well, there is a need for further communication and there are opportunities to complement each other's activities.

**【Human Resource Division】**

- One good example of collaboration with other divisions is the short-term housing

arrangements for new employees. HR worked with the facility management staff to meet the increasing need for relocation in the midst of a housing shortage.

- Examples of cases requiring improvement are as follows.
  - The reform of the human resource development system encompassing the administrative divisions could not be introduced, although a draft of the improvement plan was finalized. This should be a priority in FY2023.
  - Dealing with staff who need to take a leave of absence due to personal illness/injury should be reinforced.

**【Office of the Vice President for Strategy Implementation (SI)】**

- Coordination with other regions is an integral part of the work of SI, who frequently serves as a channel for interdivisional coordination. Notable examples of coordination in FY2022 include the development of the research lab's three-year strategy and the Quantum Technician Certification Program development project. This is a three-year program designed to provide a framework for the development of a quantum engineer certificate program. For the certificate program, a multi-functional steering group has been formulated to lead the project. The same will be done for the larger project to overhaul the PRP.
- SI staff recognizes that coordination will be better if cross-functional operations are facilitated. On the other hand, this requires pushing for collaboration among different divisions, which requires cultural changes that break down the exclusive, silo-based mindset, as well as structural changes such as providing examples and guidance on how to implement cross-functional activities. This is a part of the mission of SI.

**【Office of the Vice President for University Community, Child & Youth Services (UCS)】**

- Ganjuu Service worked closely with the Health Center, GS, and the other divisions to support OIST community following the October 2022 maritime accident.
- Recreation Services, in cooperation with Occupational Health Section, planned and implemented marine safety and basic life support training for the entire OIST community following the marine accident. These trainings can be counted as equivalent to 40 hours of HR required training per year.
- It took unexpectedly long hours to coordinate with HR to begin recruiting for the clinical psychologist position. The recruitment process was prolonged, which negatively affected the prospective employee's impression of OIST.

**Auditors' opinions**

- In most cases, coordination and collaboration among OIST divisions were deemed to have "gone well".

On the other hand, some divisions mentioned future improvement needs. The Auditors would like to see further progress in coordination and collaboration, as actual collaboration and deeper relationships may reveal issues and areas for improvement that are unrecognized.

( 6 ) Improvement of working environment

Since a better work environment motivates employees and is the foundation for the University's future development, the Auditors reviewed the efforts taken by the Divisions in FY2022 and their use of paid leave, parental leave, and family care leave.

While the paid leave utilization rate is on track, in some Divisions, managers continue to promote the use of paid leave.

In addition, the childcare leave and nursing care leave systems are well understood and utilized by OIST employees.

Some Divisions mentioned challenges they are facing.

**【General Counsel Office (GC)】**

- Working from home is allowed when necessary.
- The use of paid leave is also promoted.

**【Office of the CIO/IT Division (IT)】**

- The partitions that separated the sections in the office were removed to create a more open and collaborative work environment. In addition, meetings are held on an irregular basis with the participation of all division employees to share awareness of issues.
- Employees are encouraged to use vacation, leaves, flexible work hours, and discretionary work hours at their own discretion. In addition, the Division strives to create an atmosphere in which staff members do not hesitate to use these systems.

**【Office of the Provost/Research Support Division (RSD)】**

- As in the past, the use of various systems was encouraged. In particular, work-from-home was encouraged so that it could be utilized without hesitation when needed.
- Maternity leave, shorter hours for childcare, and leave to care for children are utilized by employees in the Division. The various leave systems are well established, so there is nothing in particular that needs to be improved.

**【Office of the Secretary General(SG)】**

- All-Hands Meetings have been held since January 2023 to stimulate communication within the Division. All-Hands Meetings are scheduled to be held every other month.
- In the Office of the Secretary General, staff take paid leave appropriately, and the Secretary General encourages staff to take their vacation days, including summer leave, proactively.



Childcare leave and nursing care leave are also taken without affecting the performance of duties, and there are no particular areas for improvement.

**【Office of the Dean of the Graduate School(GS)】**

- Divisional meetings continue. Additionally, Managers have thoughtfully organized work-related retreats wherein staff have been able to discuss matters in a more relaxed atmosphere. Finally, Managers offer an open-door policy whereby staff may speak with them at any convenient time regarding any concerns they may have.
- Staff are, and have always been, encouraged to utilize all available leave options. Regarding students, there remains room for improvement. Existing policy has led to some concern about implementation. Graduate School intends to address these concerns in the near future.

**【Office of the Dean of Faculty Affairs (FAO)】**

- FAO allows staff to work from home while adhering to the University's rules. This also serves as an infection control measure in case staff, or their family members have cold symptoms.

In addition, several years ago, in order to promote the use of paid leave, the entire office began sharing vacation schedules for the summer and winter months. This has made it easier to plan vacations ahead of time and also to take unexpected leave.

- FAO strives to create a work environment in which other members can immediately support staff on vacation or leave. In the case of long-term sick leave, the company flexibly supports staff members by using work-from-home and shortened work hours until they fully return to the workplace.

For example, one employee continues to work on a shortened work schedule. Among RUAs, one staff member has taken childcare leave and several staff members have taken nursing care leave (including temporary leave).

**【Office of the Dean of Research (DoR)】**

- The networking team created an environment that effectively utilizes work-from-home, especially for members whose children attend CDC or local daycare centers due to COVID-19. Specifically, the team shared work progress and created an environment where telecommuters and non-telecommuters can communicate closely and support each other via Microsoft Teams, etc. Continuing from FY2021, since there is no office for the Dean of Research, the administrative staff and the External Partnership Coordinator have desks in a separate building, which is not a team-friendly work environment, but the team is using platforms such as Teams to communicate closely with each other.

Both the External Partnership Coordinator (full-time OIST employee) and temporary staff have been able to use the childcare leave and nursing care leave systems without problems.

- In the Grants and Research Collaborations Section, managers gave five separate practical

skills seminars to new hires, including communication problems caused by assumptions. In addition, we actively provided opportunities to talk to new hires to see if there were any problems in their working environment.

As in the previous fiscal year, one staff member took childcare leave (the staff member has already returned to work). The office discussed with the staff how to handle the situation during the leave and implemented the plan. Managers themselves are actively taking paid leave. All employees are expected to take more than 5 days of paid leave per year.

**【Office of Technology Development and Innovation (TDIC)】**

- TDIC promotes the use of paid leave, childcare leave, etc. to ensure a comfortable working environment. In addition, TDIC flexibly accommodated staff affected by COVID school closures, allowing staff to work from home as needed.
- TDIC staff regularly use paid leave. TDIC also makes accommodations for childcare leave and maternity leave. These have been used successfully by TDIC staff with children and babies.

**【Division for Financial Management (FM)】**

- The Vice President for Financial Management met with each section team (once a year for about an hour with each person).
- In addition to weekly section meetings, frequent team meetings are held to improve communication and openness within/among teams.
- About once a quarter, a debriefing session on Division operations is held, providing an opportunity for members to get an overview of other sections' operations.
- Intra-divisional transfers are openly solicited to fulfill the wishes of staff members who are willing to broaden the scope of their work.
- The University's personnel and benefit system is well developed by domestic standards: in the case of the Division for Financial Management, many staff members have children of elementary school age or younger, and child nursing leave is well utilized (actual through November 2022: 10 staff members in total, 33.5 days). In addition, 4 of the 20 current staff members have taken maternity leave in the current fiscal year.

However, by the global standards of the Vice President's experience, OIST is inferior to other developed countries in Europe and the U.S. In order for OIST to continue to attract the best talent from around the world and to become an institution that Japan can be proud of, it is essential to benchmark the University's personnel and benefit systems against global standards and to maintain competitiveness.

The examples given by the Vice President in charge are as follows.

- Common to all UN organizations:
  - 30 days of paid leave, up to 18 days of which may be carried over to the following

year for a total of up to 60 days of unused leave.

- Regular sick leave of 24 days per year, with all unused sick leave carried over to the following year and may be used to care for or nurse a family member.
- Special long-term sick leave for 9 months (100% of salary), followed by another 9 months (depending on the organization, 50% of salary).
- 16 weeks of maternity leave for each parent before and after childbirth (the employee basically decides how to take the leave) (100% of salary).
- Allow employees to bring their infants on business trips (expenses are borne by the organization).
- Relocation expenses are paid both at the time of arrival and at the time of departure.
- World Bank Group
  - Paid leave: 25 days for less than 5 years of service, 28 days for more than 5 years and less than 10 years of service, 30 days for more than 10 years of service; may be carried over up to 75 days; excess over 75 days will be added to sick leave carryover. Unused sick leave days will be paid upon retirement up to 60 days.
  - Regular sick leave: 15 days per year; all unused sick leave is carried over to the following year. Up to 10 days per year may be used for childcare or family nursing care leave.
- 35 days of paid leave per year (may be taken consecutively) - University of Hamburg
- 10 days of paid sick leave each year, which may be carried over to a maximum of 260 days - University of Otago, New Zealand
- 26 weeks of paid maternity leave (must be taken consecutively) - University of Otago, New Zealand
- Up to 52 weeks of paid maternity/paternity leave (first 18 weeks paid, next 21 weeks paid as required by law, last 13 weeks unpaid) - Kings College London, United Kingdom
- Up to six months paid sick leave for each illness or injury - University of British Columbia, Canada
- Many OIST faculty members have commented that the pension and retirement systems are inferior to those in Western countries.

**【Buildings and Facilities Management Division (BFM)】**

- At monthly division meetings, each section takes turns presenting the status of their operations and the implementation of improvement plans. The meeting also serves as a team-building opportunity for everyone to feel part of the BFM team by sharing fun and informative information outside of work.
- Benefits such as paid leave and parental leave are not Division-specific, but part of the organization's policy, and BFM staff are encouraged to use them.

### **【Communication and Public Relations Division (CPR)】**

- A modern leadership outlook and expectations are practiced. For instance, training and development is discussed as a means of investing in the Division members. One-on-one meetings are held regularly as a forum to identify issues and concerns of the staff.

Specific examples are as follows:

- CPR Science Writer was concerned about her contract, salary, and value at OIST. Her manager and the Vice President worked closely to support her through one-on-one conversations. She was offered a contract, remained at OIST, and is a productive and happy member of the team.
- Members of CPR hold a 4 p.m. teatime every day for the Division members. CPR is working on building relationships and trust within the Division. One example is at the end of a meeting, to see how everyone is feeling and how they are doing, they are asked to express how they are feeling at that moment with their fingers.
- All CPR staff are encouraged to take their leave as needed. Members are asked to stay home when they have cold symptoms or don't feel well.

CPR was completely flexible for the parents on our team as the CDC and other schools had unplanned closures. Where possible, team members worked from home.

However, in FY23 the Division will have two team members off on maternity and paternity leave. Given budget cuts and that coverage must come from divisional budgets and not a central HR budget, CPR cannot replace them.

### **【Human Resource Division (HR)】**

- Initiatives taken in FY2022 include monthly HR Division meetings to share University initiatives, Division visions and goals, and provide internal training. At these meetings, direct dialogue between staff and the Vice President for Human Resource is reinforced to actively encourage respect for and collaboration with colleagues.
- The utilization of various types of leave is as follows.
  - Use of paid leave and summer leave improved from FY2021.
  - Two employees took childcare leave.
  - Two employees used shortened working hours.

### **【Office of the Vice President for Strategy Implementation (SI)】**

- The Vice President (VP) has little control over her team's working environment, having been allocated space without prior discussion. VP secured an improvement to the desk space initially allocated to her team. VP supported staff requests for additional office furniture and a request for a suitable chair for a staff member with back pain.
- Usage of annual leave entitlement by the staff is proportionate so far. VP has not had any requests for particular types of leave (e.g., childcare leave). The VP monitors how many hours

her staff are working, and she makes clear that she does not expect staff to be available outside normal working hours as a matter of course. Out-of-hours working will only be required in an emergency, or by prior arrangement in order to meet particular deadlines.

**【Office of the Vice President for University Community, Child & Youth Services (UCS)】**

- CDC provides childcare ergonomics training in staff onboarding training to create a more ergonomic and comfortable work environment.
- Ganjuu Wellbeing Service created a warm and welcoming new work environment when it relocated its office in 2022. This has had a positive impact on the OIST community that uses the service and the staff who work there.
- UCS staff are aware of and actively utilize vacation time to maintain their physical and mental health. Each section manager pays attention to the number of annual paid vacation days to ensure that staff members take appropriate leave.
- The table below shows the number of special leave taken at CDC in FY2022.

Type of Leave	# of employees taking leave As of December, 2022
Sick Leave	31
Childcare Leave	7
Child Nursing Leave	2
Maternity Leave before and after childbirth	4
Nursing Leave	1
Congratulatory or condolence leave	5

**Auditors' opinions**

- The use of paid leave is also judged to be good. In some divisions, managers encourage staff to take leave, and such efforts have contributed to the rating of good.

In addition, the Childcare Leave and Nursing Care Leave programs have been well publicized, and those who wish to take such leave are able to do so.

The Auditor's judgment is as described above. One Division (Vice President in charge of the division concerned) referred to comparisons with other international organizations. The Auditors wonder how much meaning and usefulness there would be in listing the pieces of the system in isolation from the background legal system, differences in social customs and practices, the organization's origins and purpose, etc. However, we have listed them here to leave it to the judgment or management decision of the wise management of the University, Board of Governors, and Board of Councilors.

**(7) Anti-harassment measures**

OIST strongly recognizes the importance of anti-harassment measures, and various

measures have been taken. We asked each Division whether it has its own measures against harassment.

Several Divisions stated that they did not have any measures of their own but were following the University's measures, and even those divisions showed willingness to take sincere action.

**【General Counsel Office (GC)】**

- At the General Counsel Office, mutual understanding, respect, and good communication are recognized to be important and implemented.

**【Office of the CIO /IT Division (IT)】**

- Regarding the anti-harassment measures, the Office of the CIO and IT Division basically follow the University's measures, and there are no unique measures implemented by Vice President for Information Technology.

**【Office of the Provost/Research Support Division (RSD)】**

- The Office of the Provost and Research Support Division (RSD) do not have any of their own measures, but if there are any statements/actions that require attention, they are ready to raise these points during their biweekly Provost Office Meetings that involve all members.

**【Office of the Secretary General (SG)】**

- The Office of the Secretary General encourages its members to complete the required online training provided by Human Resource Division and does not have any measures of its own.

**【Office of the Dean of the Graduate School (GS)】**

- The Office of the Dean of the Graduate School continues to follow OIST-wide protocols and provides measures for student-related concerns and problems.

**【Office of the Dean of Faculty Affairs Office (FAO)】**

- Although the Office of the Dean of Faculty Affairs has not experienced such incidences before, it is making efforts to stop power / sexual harassment by promoting professionalism where the members respect each other and work to create an environment of openness. During the daily and weekly meetings, each member is given an opportunity to speak about tasks or specific topics.

**【Office of the Dean of Research (DoR)】**

- The Grants and Research Collaborations Section does not have its own initiatives, but the manager is making efforts to learn about many specific cases by viewing relevant articles online.

**【Office of the Technology Development and Innovation Center (TDIC)】**

- The Office of Technology Development and Innovation follows OIST guidelines regarding harassment and does not have its own measures.

**【Division for Financial Management (FM)】**

- The Division for Financial Management understands that when information about signs of harassment is received, it should immediately consult with the Vice President in charge to intervene appropriately.

**【Building and Facility Management Division (BFM)】**

- At the Division level, BFM does whatever they can to prevent harassment. The Division encourages anyone who feels harassed or stressed to reach out to Vice President for Buildings & Facilities (BFM-VP), Human Resource Division, and/or Ganjuu Wellbeing Service.

**【Communication and Public Relations Division (CPR)】**

- The Communication and Public Relations Division adheres to OIST policies and procedures.

**【Human Resource Division (HR)】**

- As mentioned in "(6) Creating a comfortable working environment", the Human Resource Division has deployed its principles (i.e., expected behaviors) and has reminded all HR members repeatedly at monthly Division Meetings. One of the Principles is "Always respect and support colleagues."

The Division also had a self-reflection discussion about the principles as a group during a meeting in December 2022.

**【Office of the Vice President for Strategy Implementation (SI)】**

- The Office of the Vice President for Strategy Implementation does not have any specific policies against harassment. The Vice President in charge encourages open communication with team members through regular meetings and an open-door policy, hoping to help members feel confident to raise issues with her.

**【Office of the Vice President for University Community, Child & Youth Services (UCS)】**

- The Office of the Vice President for University Community, Child & Youth Services adheres to the "OIST Graduate University Respectful Workplace Policy". In addition, all staff members attend mandatory training.

**Auditors' opinions**

- The head of each Division and other superiors continue to demonstrate a willingness to take action in compliance with the University's policies.

We observed that some Divisions are continuously giving clear consideration to reporters, which should be implemented in all Divisions.

(8) Training

OIST provides trainings that are mandatory to attend from various perspectives (trainings related to information security is discussed in the following section), and we asked each Division about its employee participation rate and what kind of efforts are being made to maintain or improve that rate.

A 100% or substantially 100% participation rate for mandatory training has been achieved in all Divisions.

The efforts being made to maintain or improve the participation rate include reminders by the head of each Division and other supervisors in the meetings or through individual contact, as well as more active reminders utilizing the data related to participation in some Divisions.

**【General Counsel Office (GC)】**

- The participation rate for OIST's mandatory training is 100%.
- The General Counsel Office provides the employees with active support so that they can take the classes/seminars when requested.

**【Office of the CIO /IT Division (IT)】**

- The participation rate varies among staff, but according to the Division's understanding, the average rate was 30%-50% as of December 20.
- The staff members are regularly reminded, and those with particularly low participation rates were followed up individually as the end of the fiscal year approached, and the 100% participation rate was achieved by the end of the fiscal year.

**【Office of the Provost/Research Support Division (RSD)】**

- The Office of the Provost/Research Support Division aims at and achieved 100% completion by the end of May.
- The participation status is shared at section leaders' meetings, and the leaders are asked to follow-up with members for full participation. In addition, the Assistant Provost contacts section leaders individually to follow-up.

**【Office of the Secretary General (SG)】**

- The participation rate of the 32 members of the Office of the Secretary General for the five mandatory courses for fiscal year 2022 is 100%, with an average test score of 94 points.
  - 1) General Counsel Office (GCO): Japanese Law (2022)
  - 2) Information Technology (IT): Information Security Training (2022)
  - 3) IT: Personal Information Protection (2022)
  - 4) Occupational Health and Safety Section (OHS): Basics of Health and Safety (2022)



5) Human Resource (HR): Harassment Prevention Training (2022)

- The Office Manager for the Office of the Secretary General checks the status of the course participation via eFront (online training management system) before the deadline (approximately one month after the beginning of the term) and contacts the managers to encourage participation if necessary.

**【Office of the Dean of the Graduate School (GS)】**

- For training provided through eFront, the Division's participation rate is almost 100%.
- The division coordinator sends reminders to all staff members to encourage them to complete their mandatory training.

**【Office of the Dean of Faculty Affairs Office (FAO)】**

- At the beginning of January 2023, the overall FAO participation rate was approximately 72% except for the newly added water safety training last year.
- During the weekly FAO meetings, the Division encourages the teams to participate in the trainings and follows up to remind them when the participation rate is low. Towards the end of the fiscal year, the Division followed up again for 100% completion and achieved it.

**【Office of the Dean of Research (DoR)】**

- All members in charge of networking have completed the mandatory trainings; the LinkedIn Learning system is also being utilized. In addition, one of the members has attended external training within the section's budget in fiscal year 2022.

The Division consults the training team in the Human Resource (HR) Division to refer members to external training programs that are suitable to their level of development.

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

The members are reminded regularly in conjunction with the 40-hour self-study project led by the HR Division.

**【Office of Technology Development and Innovation (TDIC)】**

- TDIC participation rate in mandatory training for 2022 as of January 2023 was at 67.7%, which was lower than the previous year.
- Since January 2023, the Division sent reminders to encourage its staff members to attend the trainings that had not been completed. The Division aimed at and achieved a 100% participation rate by the end of the fiscal year.

**【Division for Financial Management (FM)】**

- The participation rate for the mandatory training was 100%.
- Section Leaders give reminders to encourage the members' participation at Section Meetings.

**【Buildings and Facilities Management Division (BFM)】**

- The participation rate for the mandatory training was 100%.
- The Vice President of BFM (BFM-VP) reminds the staff regularly to attend training courses, and all members completed the mandatory online training courses.

**【Communication and Public Relations Division (CPR)】**

- All members have completed the mandatory training and are recommended to continue training using LinkedIn to keep up with changes in technology and the field.
- To create an environment of lifelong learning and continuous improvement, staff members are encouraged to participate in on- and off-campus training. Training and competency development are regularly discussed at Annual or Semi-Annual Reviews, Division Meetings, Leadership Meetings, One-on-One Meetings, and other opportunities.

**【Human Resource Division (HR)】**

- The participation rate for the mandatory training was 100%.
- As the existing employees already have strong discipline, the focus should be on supporting new staff members. Line managers are making arrangements to provide new employees time to complete the trainings within 1 to 2 months after the start of employment as a part of the on-boarding process.

**【Office of the Vice President for Strategy Implementation (SI)】**

- All staff members in the Office of the Vice President for Strategy Implementation, including the Vice President, have completed the mandatory trainings.
- The Vice President uses reminders from the training section to ensure that staff members complete the mandatory trainings when needed.

**【Office of the Vice President for University Community, Child & Youth Services (UCS)】**

- The participation rate as of January 12, 2023, for the Division staff was almost 100%.
- Section Managers brief staff on mandatory training requirements at the beginning of the fiscal year and follow up regularly to assess the Sections' training status. The staff members are also encouraged to set aside time during work hours to attend and complete the mandatory training.

**Auditor's opinion**

- All divisions have achieved 100% or substantially 100% of the participation rate for the mandatory trainings. This is highly commendable and should be continued. In many Divisions, the supervisors, including division heads, encourage the members' participation in training at meetings or individually. This effort was found to be quite effective in some Divisions and should be continued. In addition, some Divisions continued to utilize data to ensure full participation in training. We recommend other Divisions to consider doing so as well when necessary.

( 9 ) Improvement of management skills of staff

At OIST, there is an urgent need to improve management associated with scale expansion, especially the management of mid-level staff (task sharing, management of work progress and work hours of subordinates, etc.)

Therefore, we asked each Division how they guide their staff members to improve their management skills, if there are any training programs offered at OIST that they think are meaningful and useful for work in terms of improving management skills, and whether any staff members in their Division participated in external training that would help staff development and/or improving management skills.

Many Divisions were making efforts to improve the competence of staff.

Regarding the training provided at OIST, many Divisions referred to and appreciated the assertive communication training across the different lines of work.

Many Divisions were actively encouraging their staff to participate in external training, utilizing online participation as well.

**【General Counsel Office (GC)】**

- General Counsel Office is encouraging staff to take seminars/classes offered by the Bar Association, the Association of Corporate Legal Departments, and other private organizations.
- The Division could not find any applicable seminars/classes offered by OIST for attorney/paralegal business management.

**【Office of the CIO/IT Division (IT)】**

- At weekly meetings, individual meetings, and other meetings, Section Managers describe what they consider to be challenges as well as their action plans. The Managers are receiving advice and mentoring, as necessary.
- The Division found training provided by C-HUB for promoting mutual understanding within teams and those provided by the Human Resource (HR) Division on communication skills, unconscious bias, conflict management training, etc. to be very useful.
- Although not necessarily focused on management skills, Managers have participated in several training programs and workshops, which cannot be listed entirely in this report, but as one example, one Section Manager attended the Annual Conference organized by EDUCAUSE, an organization of university IT professionals in the United States. The conference was very informative, with lively discussions on issues and future digital transformation in IT departments of educational institutions.

**【Office of the Provost/Research Support Division (RSD)】**

- Supervisors provide coaching for junior staff members and give opportunities for them to lead projects as OJT. The Supervisors gives advice to the junior staff members when they need it or when the supervisor thinks it is necessary.
- The Division considers that LinkedIn Learning can be beneficial to the staff members if it matches with their needs as it offers courses of specific themes people want to learn.
- Although the Division had no external opportunities in fiscal year 2022, in the future, they will encourage the staff members to attend the courses held by Professional Development and Inclusive Excellence (C-Hub) and HR as well.

**【Office of the Secretary General(SG)】**

- None in particular, as many of them have long experience in middle management positions. Each Manager is working hard on their studies. For example, the Manager of the Internal Audit Section obtained internationally recognized certifications from the United States, including Certified Internal Auditor (CIA) and Certified Fraud Examiner (CFE).
- Anti-harassment training and information security (both are mandatory online training).
- See table below for external training outside of OIST that is useful for staff development and improvement of management skills.

Section Name	Organizer	Course	Overview	Assessment
Governmental Relations Section	The Japan Evaluation Society (JES)	Certified Professional Evaluator	In recent years, accountability has become more important in various fields of policies and projects in Japan, including public works, school education, welfare, ODA, social sector, and investment, while the need to improve projects through evaluation has been increasing. In order to respond to this demand from the general public, evaluation systems are being introduced and business evaluations are being conducted. However, in the current situation, there is still a lack of human resources with expertise in evaluation. In order to improve this situation, this course aims to train personnel with evaluation-related skills and certify them to	Valuable Beneficial*

			contribute to the improvement of evaluation in various fields. (Excerpt from the web page of the Japan Evaluation Society)	
Rules and Compliance Section	National Archives of Japan	Public Records and Archives Management Training I	This program seeks to help participants understand the gist of the Public Records and Archives Management Act.	Valuable Beneficial
		Public Records and Archives Management Training II	This program helps participants understand the Public Records and Archives Management Act and other related acts and ordinances as well as master specialized issues concerning the management, preservation, and use of public records and archives.	Valuable Beneficial
	Personal Information Protection Commission	Briefing for corporations on the revised Personal Information Protection Law	Briefing session on the outline and key points of the revision	Valuable Beneficial
	Institute of Administrative Management (IAM)	Information Disclosure Seminar	Current status and issues of the information disclosure system Points to note in the operation of the Act on Access to Information Held by Administrative Organs Current status and issues of information disclosure systems in local governments	Valuable Beneficial
		Personal Information Protection Seminar	The 2021 amendment of the Personal Information Protection Law and personal information protection in the field of academic research  Current status and issues of the personal information protection system in the public sector with consideration of the 2020 and 2021 amendments	Valuable Beneficial
	Internal Audit Section	The Institute of Internal Auditors	National Conference of the Institute of	Annual intensive training to update the knowledge and skills of the internal

	Japan	Internal Auditors Japan	auditors and for them to keep abreast of issues related to internal audit standards, procedures, and techniques and improve and develop their skills	
	Association of College and University Auditors (ACUA)	AuditCon 2021	An annual intensive training program sponsored by the Association of College and University Auditors in the United States to update the knowledge and skills of the internal auditors at colleges and universities and for them to stay abreast of various issues related to internal audit standards, procedures, and techniques and improve and develop their ability.	Valuable Beneficial
Occupational Health and Safety Section	The Academic Consociation of Environmental Safety and Waste Management, Japan	Working-level communication meeting of the Academic Consociation of Environmental Safety and Waste management, Japan	Opinions are exchanged on environmental safety and health practices of each university. Information is collected on the status of each university's response to the partial revision of the Industrial Safety and Health Act for self-regulatory management of chemical substances.	Valuable Beneficial
	Asian Conference on Safety and Education in Laboratory (ACSEL)	9 <sup>th</sup> ACSEL	With the aim of improving the environmental safety in research sites, universities in Asian countries exchange useful information and discuss environmental safety management and education.	Valuable Beneficial
Health Center/ Clinic	Osaka Nursing Association	NIPPON International Nursing Administrator development course	Development of human resources who can bridge the gap between patients with different language, cultural, and social backgrounds and nurses and other professionals and help their mutual understanding in the medical practice (excerpt from the course outline).	Valuable Beneficial
	Okinawa Nursing Association	Educational training (for international	Current situation of Japan amid globalization, crisis management in medical	Valuable Beneficial

		nursing and proper nursing service for foreign nationals)	care for foreigners, and importance of international nursing, etc. (excerpts from the description of the educational training program)	
	Occupational Health Nursing Division, Japan Society for Occupational Health	Basic training	Occupational health administration and related regulations, work environment management, health checkups, workplace inspections, etc. (excerpts from training description)	Valuable Beneficial
		Occupational health nurse specialist certification examination	This system was created to establish expertise of public health nurses and nurses in the occupational health field and for continuous professional education. One member of HC passed the professional certification examination this fiscal year.	Valuable Beneficial

\* The Manager has been building up the evaluation-related knowledge through practical work experience in compiling OIST's business performance report. These training programs provided the Manager an opportunity to learn systematically and professionally, leading to passing of the examination and certification of a "Certified Evaluation Specialist" by the Japan Evaluation Society. In the future, the Manager will participate in the work of compiling business plans, which will allow her to be involved in the whole PDCA cycle of OIST and can lead to better internal quality assurance efforts. Therefore, it will be very meaningful.

**【Office of the Dean of the Graduate School(GS)】**

- In GS, the organizational structure is a clear pyramid. Staff report to the Section Managers. There are five Sections and five Managers, who report to the Vice Dean of the Graduate School, who then reports to the Dean of the Graduate School (who is also a full-time principal investigator or PI). The Dean and Vice Dean provide professional development opportunities to the Managers to improve their leadership skills. Managers support Team Leaders within their Sections to develop management skills.
- The Division found that some of the training offered by HR for management skills was helpful.
- Many staff members have utilized LinkedIn Learning provided by OIST.

**【Office of the Dean of Faculty Affairs (FAO)】**

- Regarding the improvement of management skills, the Dean of Faculty Affairs (DFA)

gives instructions and feedback on daily operations by projects. Line managers take part in training that they feel is necessary for their management responsibilities as encouraged by the DFA.

- The Division found the internal training programs such as conflict management training offered by the HR Training Section to be meaningful.
- The FAO staff attended the following external training programs that they considered useful for staff development and improvement of management skills.
  - DFA participated in a Harvard Business School online course.
  - The Academic Human Resources (AHR) and Library Managers participated in the conflict management training for managers.
  - The Division actively promoted participation in seminars, such as those held by Kakitsubata Lawyer's Office, which explained labor management from an employer's perspective. The staff was also encouraged to participate in seminars on harassment and labor precedents as well as those on labor contracts sponsored by the Ministry of Health, Labor and Welfare.

**【Office of the Dean of Research (DoR)】**

- The networking team is encouraged to consult the HR training team and to take external training appropriate to their positions and job levels.
- The Grants and Research Collaborations Section Manager provides individual guidance to each staff member according to their aptitude and position/level. Specifically, the Manager introduces external seminars and exchanges opinions individually when matters requiring guidance arise. Regarding the training programs offered by OIST for improving the management skills, the Division hopes that the programs organized by the HR Training and Education Section will be meaningful and useful.
- As for the useful external training, the networking section highly evaluated the "Ownership training for mid-career employees - Become a person who encourages others with a sense of ownership" by Insource Co., Ltd. Several members of the Grants and Research Collaborations Section, requested and participated in the "RAMAN-J (The Research Manager and Administrator Network Japan) Annual Conference" (led by Tohoku University) and attended the presentations related to their work, which shared information about how other universities are solving their problems as well as their empirical knowledge. The members also had an opportunity to exchange opinions with the administrative staff of Tohoku University, and thus thought their participation was meaningful.

**【Office of Technology Development and Innovation (TDIC)】**

- TDIC encourages its managers to improve their management skills by making 3 main



efforts: 1. Requesting staff to include professional development as a goal in their annual performance targets; 2. Requesting staff to reserve up to 5% of their time and effort on professional development activities; and 3. Allocating budget to support training courses that meet each staff member's individual needs. In the fiscal year 2022, TDIC promoted one staff member to Manager. This allowed the Senior Manager, who had been managing two Sections, to focus only on one.

- Among the training programs provided at OIST, the Division considers the Assertive Communication Workshop to be meaningful and useful for their tasks.
- TDIC staff participated in over 50 different external training programs to strengthen their management skills or for overall individual professional development.

**【Division for Financial Management (FM)】**

- To improve the leadership skills of the Team Leaders, a certain level of authority is delegated to them regarding the business operation, including time and attendance management. The Managers hold weekly Team Leader meetings to provide them with guidance on matters such as how to lead their subordinates.
- Among the training programs offered by OIST, the Division believes that the Unconscious Bias training (for Management) (held on November 2022) was meaningful and useful for their operations.
- The following is a list of external training and other programs outside of OIST that are useful for staff development and improvement of management skills.
  - In September 2022, a Team Leader participated in a coaching training course hosted by Insource Co., Ltd. The Team Leader reported that the training was helpful for coaching the team members in the future, including how to ask questions to elicit what the other person has to say which leads to finding the direction to proceed for human resource development.
  - One staff member participated in the "4th Tiruru Juku" organized by Okinawa Prefecture and the Okinawa Women's Comprehensive Center. The program aims to develop human resources who can play an active role in the workplace, at home, and in the community, with nine programs on topics including gender equality, logical and communication skills, and workshops. The member who attended the program reported that it was very meaningful.
  - One member participated in a training program for accounting clerks of government-related corporations hosted by the Ministry of Finance. Additionally, this program started allowing online participation in fiscal year 2022, and nine staff members attended it.

**【Buildings and Facilities Management Division (BFM)】**

- Weekly BFM Managers Meetings are held by the Vice President of BFM (VPBFM). At this meeting, each Section Manager reports, communicates, and consults with the VP and receives training to improve their management skills through discussions on these issues and instructions from the VP.
- There were no particular training programs offered by OIST that is considered meaningful or useful for their operations.
- The following external training programs offered outside of OIST are helpful for human resource development and improvement of management skills of the staff members.
  - A member of Facilities Operation and Use (FOU) Section gave a presentation at the Okinawa open tech seminar on concerns about the impact of the global helium shortage and its impact on the research activities at OIST as well as OIST's joint project with The University of the Ryukyus on helium liquefaction, as technology exchange with neighboring communities. It has been reported that some other organizations are also outsourcing the liquefaction service to The University of the Ryukyus.
  - The Budget Analyst and 2 CBS members participated in the Kyushu Area Conference of Heads of Facility Management Divisions of National Universities and exchanged information and opinions.
  - The leader and two core staff members of the Facility Management (FM) Section participated online in “The 21st Symposium on University Reform” hosted by the Japan Association of National Universities on November 2, 2022 and attended a lecture on the subject of energy management related to carbon neutrality on campus. These members also attended online the "Fiscal Year 2022 Seminar on Energy Conservation Measures in Schools" hosted by the Ministry of Education, Culture, Sports, Science and Technology.

**【Communication and Public Relations Division (CPR)】**

- Where possible, a “coaching approach” is used. Managers and team members are encouraged to present solutions and recommendations. Specific examples are as follows:
  - Following Agile methodology, the Digital section holds “stand up” meetings every morning and share Daily Notes to keep track of priorities and find opportunities to support one another.
  - The Internal Communications coordinator took a leadership course in February/March.
  - The Media Manager works during outside hours as a coach, which in turn helps her management skills.
  - The Vice President and Science Writer have engaged in regular leadership coaching.
  - All CPR members were specifically encouraged to attend the Inclusive Leadership

### Symposium 2023.

- The Vice President has suggested that a leadership pipeline and training programs for management and leadership are needed.
- CPR members have participated in hundreds of hours and dozens of external training efforts. Examples: Our Digital Manager and programmer attended and presented at an international Drupal conference, DrupalCon Europe 2022, for leaders in the field. One of the Community Relations assistants is pursuing a science communication certificate at Hokkaido University. The Vice President attended the leading industry conference for communicators, the IABC World Conference. These examples are excellent, worthwhile, and highly recommended.

### 【Human Resource Division (HR)】

- At weekly HR Leaders Meetings, all Managers actively discuss specific issues faced by various Sections as case studies as well as plans of capability development of particular individuals as part of the reviewing process of the staffing plan within the Division.
- The Division received positive feedback from training participants especially on the “Assertive Communication” and “Conflict Management” courses sponsored by the HR Division as helpful internal training programs.
- Due to the COVID-19 pandemic, the Division actively utilized external training programs provided online.

### 【Office of the Vice President for Strategy Implementation (SI)】

- The Vice President (VP) for (SI) encourages team members to enroll in LinkedIn Learning and recommends specific courses (project management courses). The VP also engages the team in office management tasks, such as budget management, with instruction on how to perform the tasks as direct training. This includes a discussion of the Prep-Do-Review (PDR) Cycle.
- As far as the VP’s understanding, there are no training programs for improvement of management skills offered at OIST that are meaningful or useful to the staff’s operations.
- The members were not recommended to attend external training programs on site partially due to the COVID-19 pandemic.

### 【Office of the Vice President for University Community, Child & Youth Services (UCS)】

- To ensure the efficient operation of the Child Development Center (CDC) and School-Aged Program (SAP), the group leaders (Grades A2/A3) are expected to independently manage and supervise the daily operations of the classrooms of their responsibility. This includes managing staff schedules, daily supervisory duties, supporting classroom teachers in their daily learning activities, liaising with other CDC staff, and daily communications with parents.

The Resource Center Manager discusses with the staff members and finds training programs from LinkedIn that seems necessary to them to recommend them.

- Many of the LinkedIn training programs offered by OIST are practical (communication courses, self-management, etc.) and can be taken at any time during working hours, which is considered very beneficial.

Conflict management courses for staff and managers were beneficial for image training to resolve conflicts. The unconscious bias course can help the members recognize their own biases and take steps to make decisions that are not influenced by those biases.

- One staff member at Ganjuu Wellbeing Service participated in an external training program on polyvagal theory as part of the continuing professional development (CPD). This training was excellent. In addition, one staff member participated in training to obtain a license in Japan. One staff member participated in training on trauma, also as part of CPD.

A total of over 80 CDC staff participated in external training programs.

#### Auditors' Opinions

- Many Divisions mentioned and appreciated the assertive communication training program offered by OIST regardless of the difference in their operations. We would like to commend the HR Division for planning and conducting this training and hope that the Division will aim for even higher achievements.

As for external training, many Divisions actively seek out and participate in programs that are highly evaluated and beneficial. We hope that these efforts continue in the future.

#### (10) Ensuring information security

Ensuring information security is very important, not only to protect the continuation of daily operations and research, but also to protect the University's information assets and external credibility.

For this reason, the auditors audited the rate of participation in mandatory information security training, as well as the occurrence of information security incidents.

Regarding mandatory information security training, all staff members in all divisions who are required to take the course have completed it.

No information security incidents were reported.

#### 【General Counsel Office (GC)】

- All employees completed the information security training.

- No information security incidents occurred.

**【Office of the CIO/IT Division (IT)】**

- As of January 2023, in the middle of FY2022, the completion rate in the Division was approximately 30-50%. The Division expects to achieve a 100% completion rate by reminding staff regularly and following up with those with particularly low completion rates individually as the end of the fiscal year approaches.
- No information security incidents have occurred within the Division. When incidents do occur, the Information Security Section will provide the necessary support.

**【Office of the Provost/Research Support Division (RSD)】**

- Each year the Division aims for 100% completion of training by the end of May, which has already been achieved in FY2022. Completion rates for each section are announced at section leader meetings to encourage those who have not yet taken the course to do so. In addition, the Assistant Provost contacts section leaders and follows up with them individually.
- There were no information security incidents.

**【Office of the Secretary General(SG)】**

- The mandatory training completion rate for FY2022 is 100%. A reminder to complete training was given at weekly manager meetings.
- No information security incidents occurred in the office in FY2022.

**【Office of the Dean of the Graduate School(GS)】**

- Various security levels are applied to the management of information. Each staff member knows the appropriate information security level for his/her job.
- There were no information security incidents.

**【Office of the Dean of Faculty Affairs (FAO)】**

- The information security training completion rate was 72% in January 2023, but the FAO encouraged completion at office meetings, followed up on low completion rates, and encouraged training completion again before the end of the fiscal year, with the goal of achieving a 100% completion rate, which was achieved.
- No information security incidents occurred.

**【Office of the Dean of Research (DoR)】**

- All members of the networking team have completed the information security training.
- All have completed the required training in the Grants and Research Collaborations Section as well. They were reminded to complete it by the deadline.
- No information security incidents occurred in either the Networking Team or the Grants and Research Collaborations Section.

**【Office of Technology Development and Innovation (TDIC)】**

- The completion rate of the mandatory training for TDIC staff in FY2022 was 67.7% as of January 2023, which was lower than the previous year, but staff who had not yet taken the course were subsequently encouraged to do so, and the goal of 100% completion by the end of the fiscal year was achieved.

- There were no information security incidents at TDIC in FY2022.

**【Division for Financial Management (FM)】**

- The completion rate of mandatory training is 100%. Section leaders remind staff to complete training at section meetings.
- No information security incidents occurred.

**【Buildings and Facilities Management Division (BFM)】**

- All staff completed mandatory online training.
- No information security incidents occurred within BFM in FY2022.
- BFM has installed surveillance cameras in the lab buildings in phases to prevent theft of expensive research equipment. (Lab 4 and Lab 1 are already equipped with these cameras.)

**【Communication and Public Relations Division (CPR)】**

- All CPR staff completed mandatory online training.
- No information security incidents occurred.

**【Human Resource Division (HR)】**

- Completion rate is 100%.
- No information security incidents occurred in FY2022.

**【Office of the Vice President for Strategy Implementation (SI)】**

- All staff completed mandatory online training.
- No information security incidents occurred in FY2022.

**【Office of the Vice President for University Community, Child & Youth Services (UCS)】**

- The completion rate for information security training is 100%.
- No information security incidents occurred.

**Auditors' Opinions**

- Regarding mandatory information security training, all staff members who are required to attend training in all divisions have completed it, and the promotion by Vice Presidents, Deans, and other managers is commendable. It is expected that these efforts will be continued in the future.

- ( 1 1 ) Initiatives for disaster prevention and health and safety management  
Efforts related to disaster prevention and health and safety management are extremely

important, not only to protect human lives, but also to protect the University's property, credibility, etc.

The Auditors checked whether the Divisions are making efforts to raise awareness of disaster prevention and health and safety management, either on their own or in cooperation with other Divisions.

While there was some variation among the Divisions in terms of Division-specific initiatives, all Divisions followed the University's policies on disaster prevention and health and safety management.

**【General Counsel Office (GC)】**

- In the General Counsel Office, traffic accident prevention falls under the category of health and safety management. The office reminds staff to drive carefully and encourages them to work from home when driving is difficult due to inclement weather or other reasons.

**【Office of the CIO/IT Division (IT)】**

- Five persons were appointed to be in charge of disaster prevention in the office (two in the initial firefighting team and three in the evacuation team), and the two members of the initial firefighting team participated in the initial firefighting training.

A fire warden for Lab 2 was also appointed to patrol the premises during fire drills and guide evacuations. He also participated in initial firefighting training.

**【Office of the Provost/Research Support Division (RSD)】**

- The Office has been running the Suzuki Shohei Research Safety Fund since 2017, which provides financial support to programs that benefit research safety.

**【Office of the Secretary General(SG)】**

- SG has no initiatives of its own.

**【Office of the Dean of the Graduate School(GS)】**

- Though well executed, GS did not receive any feedback from campus coordinators of disaster prevention. It is desirable to receive feedback and be able to know if the initiative was 100% successful.
- GS stays in line with campus-wide disaster prevention and health and safety management.

**【Office of the Dean of Faculty Affairs (FAO)】**

- FAO participated in the fire drills and had no problems.
- FAO conducted fire-risk assessment with assistance from BFM for the main office and the library.
- For health and safety management, FAO adheres to the University's COVID-19

Guidance.

**【Office of the Dean of Research (DoR)】**

- The networking team ensures that all members are tested for COVID-19 antigen twice a week.
- In the external research funding section, there are no initiatives of note.

**【Office of Technology Development and Innovation (TDIC)】**

- In FY2022, the TDIC response to fire drills was well executed.
- TDIC does not make its own efforts to raise awareness of disaster prevention and health and safety management.

**【Division for Financial Management (FM)】**

- N/A

**【Buildings and Facilities Management Division (BFM)】**

- BFM plays an important role in the University's firefighting plan. In FY2022, when reviewing the organization of the in-house firefighting team and conducting fire drills for Wardens and Deputy Wardens in each Lab building, BFM actively provided opinions from the standpoint of facility management in cooperation with the campus fire prevention management team to help create a better fire and disaster prevention system. However, the university's fire and disaster prevention system, including the organization of an in-house firefighting team, is inadequate. Future issues include the development of a fire and disaster prevention system that involves the entire staff through the training of fire and disaster prevention staff and the implementation of education and training for staff. Currently, no feedback is provided to the divisions and sections that participated in the drills, but fire prevention staff selected from each section are appointed for each building, and BFM is considering providing feedback to each building through these fire prevention staff in the future.

Furthermore, BFM recognizes the importance of cooperation with the Health and Safety Committee. Whenever the committee makes a request to BFM for improvements in campus safety, the Division tries to respond to it as soon as possible.

- An example of collaboration with other Divisions is the improved handling of ambulance arrangements with the Occupational Health and Safety Section (OHS). The best procedures were discussed and developed with OHS, Bosai Center Security, and the Fire Prevention Manager to ensure that ambulances are quickly directed to the scene in case an ambulance is requested on campus.

**【Communication and Public Relations Division (CPR)】**

- CPR takes workplace health and safety seriously. The Division has two representatives on the OIST Health and Safety committee. CPR members participated in the annual fire



drill. From an internal communications standpoint, the team worked closely across Divisions on COVID-19 and typhoon-related efforts.

**【Human Resource Division (HR)】**

- In strong collaboration with the OHS Section, HR works to raise awareness of disaster prevention and health and safety management.
  - VPHR participates in monthly Health and Safety Committee meetings.
  - VPHR conducts workspace inspection as one of the health and safety officers.
  - VPHR shares information from the monthly Health and Safety meetings at weekly HR Leaders meetings. Each Section Leader is expected to apply this information in their sections.

**【Office of the Vice President for Strategy Implementation (SI)】**

- The Office has no specific measures of its own.

**【Office of the Vice President for University Community, Child & Youth Services (UCS)】**

- CDC conducts monthly fire drills in conjunction with the Bosai Center. Through these drills, staff members become proficient in child safety duties related to evacuation from the building in the event of a fire.
- SAP conducts fire and earthquake drills two to three times a year. In cooperation with OHS and the Facilities Management Section, SAP conducted an emergency evacuation drill to an air base in November 2022.

**Auditors' Opinions**

- While the nature of the Division's own initiatives depends on the nature of the Division's operations, all Divisions are in compliance with the University's policies on disaster prevention and health and safety management, which is commendable. Continued are expected.

**( 1 2 ) Business Continuity Plan (BCP)**

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

The auditors confirmed the items that each division addressed in FY2022 and the items that they would like to address in the future.

While some Divisions followed the University's BCP and had no unique initiatives, others were steadily implementing additional unique initiatives.

**【General Counsel Office (GC)】**

- Nothing in particular. (If normal business stops, there will be no legal work. The issue is a special legal problem at the time of recovery from a disaster or emergency, but it is an issue that needs to be addressed on an individual basis).

**【Office of the CIO/IT Division (IT)】**

- In the risk register update process, led by the General Counsel Office, several new risk items were added from the perspective of IT and information security. In addition, a study of backup plans as a countermeasure against ransomware was initiated and will be fleshed out in the future.
- A memorandum of understanding was concluded with Nara Institute of Science and Technology (NAIST) to mutually store backup data as a disaster recovery (DR) site for a backup environment in the event of a disaster. That DR site was constructed in FY2022.

**【Office of the Provost/Research Support Division (RSD)】**

- Sequencing Section improved the PCR testing protocol and increased the maximum number of tests per day to approx. 4,000. RSD will discuss with the Okinawa Prefectural Government on how to maintain the testing capacity.

**【Office of the Secretary General(SG)】**

- There are no specific items that have been addressed or will be addressed in FY2022.

**【Office of the Dean of the Graduate School(GS)】**

- While no new BCP items were officially added in FY2022, the need to respond to frequently changing COVID-19-related policies both externally (e.g., Japan's border control policy affecting cross-border movement of students) and internally (e.g., adjustments to the operation of Graduation Ceremony based on the University's meeting policies) was appropriately addressed.

**【Office of the Dean of Faculty Affairs (FAO)】**

- Documents are stored in Microsoft's SharePoint or in locked cabinets.
- For the purpose of preventing the loss of paper-based data and facilitating data management, document management is done in the cloud so that it can be accessed from anywhere in the world with an Internet environment.

**【Office of the Dean of Research (DoR)】**

- Both the networking team and the Grants and Research Collaborations Section have made no changes to their BCPs since last year.

**【Office of Technology Development and Innovation (TDIC)】**

- In FY2022, TDIC continued to leverage software to ensure that documents and other critical information needed for business continuity are accessible from cloud servers. Critical documents are saved in SharePoint. TDIC transitioned fully from using Sophia

software to Salesforce to maintain IP data and contracts and agreements. Asana was implemented for project and task management. Salesforce was also utilized as a tool for customer relationship management. Utilization of Survey Monkey has achieved efficiencies in applications and reviews for the Startup Accelerator Program.

**【Division for Financial Management (FM)】**

- Laptop computers are distributed to all employees with approval authority so that approval processing is not delayed even when working from home in an emergency.

**【Buildings and Facilities Management Division (BFM)】**

- An important role of the BFM is to quickly assess damage to the campus in the event of a disaster so that the University can take measures for recovery. For this purpose, the Bosai Center takes the lead in conducting drills twice or more a year to simulate the occurrence of a large-scale earthquake, which were conducted twice in FY2022. The BFM is also responsible for stockpiling emergency materials, equipment, and food. The stockpiling of food and drinking water for the number of people required by the BCP is particularly important. Since the stockpile will increase in proportion to the increase in the number of university employees, additional stockpile containers have been installed, and a system has been established to handle future increases in emergency stockpiles.

**【Communication and Public Relations Division (CPR)】**

- To work from home on short notice, arrangements have been made for team members to have laptop computers available for use at home. Different equipment needs have also been arranged for some members.
- The Digital Content, Brand and Design Manager is coordinator of the Information Team for the emergency response, but CPR has not had a chance to do any training or rehearsals this year.
- On the crisis communications side, CPR organized training for the Secretary General, Provost, and VP CPR in February.

**【Human Resource Division (HR)】**

- In FY2022, there were no special BCP initiatives other than COVID-19 measures.

**【Office of the Vice President for Strategy Implementation (SI)】**

- There are no specific measures in place for the Division. Team members are allowed to work from home in case of an emergency, such as a typhoon.

**【Office of the Vice President for University Community, Child & Youth Services (UCS)】**

- No change from the FY2021 BCP.

**Auditors' Opinions**

- The difference between the Divisions that do not have their own initiatives and those that

do is largely due to differences in the nature of the Divisions' operations, but the Auditors were able to confirm the sincerity of all the Divisions in their BCPs.

Since BCPs should be constantly studied and reviewed, continued efforts are expected.

#### 4 . Response to the COVID-19 Pandemic

The University has boldly taken a stand against the COVID-19 pandemic and has achieved various results.

Efforts toward coexisting with COVID-19 and the post-pandemic world are also progressing on a global scale, and it is strongly hoped that these efforts will be initiated at an early date.

The following is a review of the actions taken and results achieved by the Divisions with regard to the COVID-19 pandemic.

In all divisions, steady action was taken, and stable efforts were made.

##### **【General Counsel Office (GC)】**

- Thorough testing for PCR, antigens, etc. Encourage work from home.

##### **【Office of the CIO/IT Division (IT)】**

- In accordance with the University's policy, the Division encouraged close contacts to work from home to prevent outbreaks. It also ensured that staff wore masks in meetings and encouraged them to take weekly antigen tests.

##### **【Office of the Provost/Research Support Division (RSD)】**

- Active use of work from home. Although there were individual COVID-19 positive cases, there were no cases of suspected spread within the Division.

##### **【Office of the Secretary General(SG)】**

- In FY2021, the Division continued to take precautionary measures, including the use of a work-from-home system (up to eight times a month) and encouraging staff to take leave when they are not feeling well.

##### **【Office of the Dean of the Graduate School(GS)】**

- In the COVID-19 response, the Graduate School followed the University's policies; the Graduate School sent a representative to the University's COVID Response Committee and communicated and coordinated through that person. The Graduate School also followed policy changes during the pandemic, including adjustments to classroom capacity, class format (e.g., face-to-face or online), office capacity, and official University events. As the various restrictive measures were gradually eased, the Graduate School has also adjusted its operations.

##### **【Office of the Dean of Faculty Affairs (FAO)】**

- Faculty reviews and unit reviews continue to be conducted online.

- RUA interviews are not required to be face-to-face interviews, and online interviews have been actively incorporated to expand contacts with candidates outside of Okinawa and outside of Japan. This will continue in the future.

**【Office of the Dean of Research (DoR)】**

- The networking team was responsible for the “Keio International Summer Camp,” a week-long event that welcomed medical students from Keio University, and ensured that all participants underwent thorough PCR testing, antigen testing twice during the camp, and daily temperature checks. In addition, arrangements were made to hold the international conference ISCO2023, which will be co-hosted with RIKEN and the University of Tokyo at the end of the fiscal year, in a relatively large venue and meeting room for the on-site event.
- In the Grants and Research Collaborations Section, there are no new initiatives of note this year.

**【Office of Technology Development and Innovation (TDIC)】**

- TDIC ensures that OIST guidelines for COVID-19 are communicated to all Division staff. TDIC also provides flexibility in remote working and in working in shifts to reduce the number of staff in a confined space at one time.
- In a world where we must coexist with COVID-19, TDIC will continue to provide flexibility in remote working as needed. One area that needs improvement is that the overall policy at OIST for remote working should be more flexible. However, in a post-pandemic world, TDIC believes that in-person, face-to-face business interactions continue to be important and should be aimed for.

**【Division for Financial Management (FM)】**

- In several contracts, the recent shortage of semiconductors has caused contract delivery deadlines to be missed, but this is being addressed through appropriate contract modification procedures, such as extensions of delivery dates. In addition, we are consulting with the Cabinet Office as soon as possible regarding the carry-over of subsidies.
- In an effort to make it possible for telecommuting systems to make payment procedures without delay, it was made possible to omit seals on invoices and others as an initiative in anticipation of coexisting with COVID-19.

**【Buildings and Facilities Management Division (BFM)】**

- All divisions and units of the University must follow the policies established by the University for COVID-19 and are not expected to establish their own rules; the BFM ensures that all national rules, University directives, and common-sense prevention measures are followed.

**【Communication and Public Relations Division (CPR)】**

- CPR members are able to work-from-home on short notice (e.g., flu symptoms, CDC

closed) and as planned (e.g., alternating days to give more space in close workspaces).

- Team members are encouraged to test regularly, and kits are always available and accessible. CPR also has a system in place for quickly sharing COVID diagnoses that respects both confidentiality and others' rights to know. CPR members appear comfortable and pleased with all these arrangements.

**【Human Resource Division (HR)】**

- Under leadership by Secretary General, VPHR led the Counter COVID-19 Team and revised standard guidelines/protocol for OIST students and employees. VPHR also reported about the situation on campus at monthly Health and Safety Committee meetings.

**【Office of the Vice President for Strategy Implementation (SI)】**

- Team members comply with the measures prescribed for the university. All team members wear masks at work and meetings are arranged in spaces which allow social distancing. In the past, when it was required by university policy and kits were available, team members regularly carried out antigen tests. VP has encouraged her team members to continue their vaccinations and has set an example by having received all available vaccinations herself.
- There have been no cases of COVID-19 in the Office.

**【Office of the Vice President for University Community, Child & Youth Services (UCS)】**

- For each service offered, UCS is working on a variety of measures and initiatives.

《CDC/SAP》

- Weekly PCR testing for all staff members.
- A testing system for nursery schools in Okinawa Prefecture was used to regularly check staff and children who had close contact with infected individuals. This effort was effective in preventing the spread of infection.
- CDC/SAP policies were reviewed periodically.
- Participation in the OIST COVID Core Team has allowed CDC and SAP to better understand the situation at the University and in Okinawa and to make more effective decisions.
- The CDC and SAP regularly reviewed the precautionary measures and closure policies of elementary schools and daycare centers in other local communities and consulted with the Onna Village Office.

《Food services》

- Partitions were placed at each dining table and posters were put up to encourage users to keep their distance and eat silently. Unfortunately, in many cases the partitions were moved or removed by the users, and they also had little effect on silent eating.
- Additional table seating has been added to the outdoor Center Court and wood deck. The outdoor seating is used by many people.

#### 《Ganjuu Wellbeing Service》

- Ganjuu Wellbeing Service continues to offer Zoom meetings in addition to in-person meetings. Training and mindfulness classes are also offered both in-person and via Zoom, giving participants a choice.

#### 《Language Education Section》

- Based on the Okinawa Prefectural Government's alert level, classes are conducted either online or in-person. In FY2022, most classes were conducted online, but after discussing the response with OHS, the decision was made to return to face-to-face classes in November 2022, and teachers began face-to-face classes with clear instructions to students on how to safely attend classes. According to student feedback, the resumption of face-to-face classes was very well received.

#### 《Recreation Services》

- Recreation Services continually informs community members to practice appropriate precautions in accordance with Okinawa Prefecture government alert levels and University policy. To minimize the risk of infection, it is recommended that people wear masks or covers in public places. People who are not feeling well are encouraged to refrain from activities, and antigen test kits are still being used by activity participants.

#### 《Resource Center》

- The Resource Center is posting more content online than ever before, allowing users to solve more problems without having to meet with Resource Center staff in person. They have also introduced an appointment system with staff to reduce the amount of time users have to wait at the Resource Center. In addition, the Resource Center always maintains an environment that allows staff to work from home so that they can respond immediately in the event of a campus closure.

#### Auditors' Opinions

- All Divisions are steadily working on initiatives that are appropriate to the nature and characteristics of their operations. The Auditors commend them.

Some of the Divisions have taken various measures to address the constraints of the COVID pandemic and improve their operations, which are highly appreciated, and the Auditors hope that other Divisions will find them useful.

#### 5. Individual items

##### (1) Contribution to Okinawa Development

In the rationale for the establishment of the University (Okinawa Institute of Science and Technology School Corporation - Act No. 76 of 2009), Article 1 states “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 contributing to the promotion and self-sustaining development of Okinawa and to the development of science and technology worldwide.”

The Auditors checked with the Office of the Provost/Research Support Division (RSD) regarding the University's contribution to the promotion of Okinawa.

The results are as follows.

Research and education:

- Continuation of PCR tests to Okinawa Prefectural Government
- Conclusion of the Umbrella Agreement and the Memorandum of Understanding with Naha Coastguard Office (planned in January 2023)

The Umbrella Agreement and Memorandum of Understanding with the Naha Coastguard Office also makes a major local contribution to local safety and security by conducting a marine environmental survey of Apogama, where the Coast Guard's statistics show a high number of water-related accidents.

Future issues, such as areas for improvement, include the development of human resources capable of project management when concluding umbrella agreements, etc., as mentioned above.

Currently, members of the Academic Agreement Team are playing that role, but the roles to conclude agreements as documents and managing research projects are separate functions.

From the perspective of contributing to the development of Okinawa, one improvement is that the Assistant Provost is now able to participate in the Okinawa Liaison Task Force, discussions with the Okinawa Prefectural Government regarding the continuation of PCR testing, and discussions with the Naha Coast Guard Office regarding the conclusion of an umbrella agreement and memorandum of understanding.

Efforts are also being made to lower language barriers to consultation and collaboration, with one example of Japanese-speaking Research Resources Senior Manager participating in a panel discussion on core facilities at the University of the Ryukyus.

The Auditors commend the University for its steady initiatives, including making significant local contributions that also contribute to the safety and security of the local community.

- (2) Outreach activities to junior high school students, high school students, and others in Okinawa and beyond

Outreach activities to junior high school students, high school students, and others in and



outside of Okinawa are essential to attract excellent students.

The Auditors checked with the Graduate School and Communication and Public Relations Division (CPR) regarding outreach activities to junior high school students, high school students, and others in and outside of Okinawa.

- The audit with the Graduate School confirmed the following:

In FY2022, as a way to introduce learning opportunities offered at OIST including PhD programs and Research Internship to STEM-focused high school students in and out of Okinawa, the Science Education Outreach Team in External Engagement Section has conducted a total of 2 online lectures, accommodated 9 high school visitations to OIST, and offered 2 in-person science workshops at OIST.

In order to expand the community of science students who wish to continue their involvement with OIST, the Graduate School has created a LINE account to introduce and promote its workshops and programs. The said account currently has over 100 followers. The Graduate School will continue to promote the above efforts to expand the community. In some cases, students who have participated in one of the University's workshops have returned to participate in another program, indicating a high level of interest in the University's research activities.

Cases of students returning to the University after an educational program to participate in another program may serve as an effective indicator in planning and verifying new programs. It could also provide food for thought as to how effective it would be to continue to provide information and contact with students until their possible admission to OIST's PhD program. If those students apply for PhD programs or research internships at OIST in the future, the Graduate School needs to find appropriate record-keeping methods so that past contacts between them and the Science Education Outreach Team can be verified.

- The audit with CPR confirmed the following:

The Community Relations Section of the Communication and Public Relations Division conducts outreach activities such as campus tours, science programs, school and community engagement events, and lectures for a wide range of audiences throughout the year.

In late FY2022, the section emerged from COVID restrictions to host 7, 141 OIST visitors and engage 1,479 students via 26 school visits. It brought back outreach events that had been closed or conducted entirely online due to COVID. Some of these include ONNA/OIST Children's School of Science (155 students, online), "OIST Science Festival" (600 in-person attendees and 200 online), "SCORE!" science contest for high school students (8 schools, 16 teams, 46 students), and "OIST Science Trip"

science programs held in remote islands (this year on Iheya, Yaeyama, and Miyako islands).

In addition to science education outreach, the section hosted events celebrating OIST Adjunct Professor Svante Pääbo's win of the 2022 Noble Prize in Physiology or Medicine (Tokyo University, 950 attendees, and International House of Japan, 30 officials) and the OIST 10th Anniversary (530 people, ceremony and concert events at the university).

As Auditors,

- Outreach activities to junior high and high school students in and outside of Okinawa Prefecture are extremely important in light of the history of the establishment of this university.
- Some other divisions are very interested in outreach activities to junior high and high school students in and outside of Okinawa Prefecture and are trying to implement such activities.

As a university that has been in operation for more than 10 years, it is expected to achieve tangible results and accomplishments. The auditors commend the current efforts outlined above and strongly hope that the university will continue to proactively implement these efforts as one team.

### (3) Efforts to Obtain Competitive Research Grants

The acquisition of competitive research grants was checked with the Dean of Research. The results are as follows.

In addition to the existing support program for the basic Grants-in-Aid for Scientific Research (KAKENHI), the major competitive research grant, workshops were held with past grant recipients as panelists under the leadership of the Dean of Research. The University also strategically prepared for large-scale competitive research grants and was selected for the COI-NEXT project (approximately 300 million yen per year).

The Office of the Dean of Research has set a target large-scale competitive research grants to be applied for in FY2023 with the same strategic approach and has already contacted the University's faculty and staff involved in the application process.

In addition, meetings are being held to narrow down applications that require collaboration with other universities and to prepare for applications based on the network that has been established.

The Auditors highly commend the University's efforts to obtain competitive research grants, which seem to be steadily advancing year after year with various ingenuities and

improvements. The acquisition of competitive research grants is one of the ways in which the high quality of the University's research is clearly communicated to the outside world, and therefore, continued progress is strongly expected.

(4) Budget execution management for facilities and equipment management

Regarding budget execution management in facilities and equipment management, the Auditors checked with the Buildings and Facilities Management Division (BFM) and the Division for Financial Management (FM) whether information sharing and consensus building between the construction management team and the budget execution management team are conducted at the appropriate time.

- The audit with the Buildings and Facilities Management Division confirmed the following:

The Construction and Construction Management Team is organized by the Campus Building Section (CBS) with the addition of the Construction Budget Analyst and is led by the Construction Budget Analyst and Senior Manager, although all members are involved in budget management. Budget execution management is handled by the Budget and Contract Management Section and is led by the Assistant Manager.

The three of them exchange information on a daily basis, including communication with the Cabinet Office, divisions within the university, and sections within the divisions, and they all share the same information at all times. Documents are also prepared as tools for information sharing to ensure that everything is in place.

- The audit with the Division for Financial Management confirmed the following:

At the beginning of the budget request process for the next fiscal year (around January), information is shared with the BFM on the draft requests for subsidy for facilities and subsidy for operations, and updated versions are shared as appropriate thereafter.

During the internal request formulation period (February to May), the OIST Board of Governors decides on and reaches a consensus on the details of the request for a combined subsidy for facilities and subsidy for operations, fully taking into consideration the President's intention.

During negotiations with the Cabinet Office (June-August), the BFM provides explanations on subsidies for facilities and the FM provides explanations on subsidies for operations based on the decisions made by the Board of Governors. Information on the status of explanations is shared as appropriate.

The Auditors commend the current status of timely and appropriate information sharing and consensus building, as confirmed by the audit with both Divisions.

The Auditors hope that timely and appropriate information sharing, and consensus

building will continue.

(5) Reduction of overtime work

An audit was conducted with the Human Resource Division (HR) regarding the reduction of overtime.

The following was confirmed:

HR continues to recommend that employees who are working overtime in excess of 45 hours per month meet with an occupational physician, and in cases where a temporary increase is observed, HR encourages the person in charge of the section in question to improve workload management.

As a result of these efforts, the number of employees working overtime and the number of consultations with industrial physicians have been decreasing year by year.

The Auditors understand that both overtime hours and industrial physician interviews have decreased year after year, and while commending HR's efforts, we hope that the reduction of overtime hours will continue to further progress.

(6) Delay in processing of reimbursement of travel expenses and payment of honorarium

The delay in individual reimbursement of travel expenses and honorarium was communicated to the campus by FM; an example of the communication is an announcement in TIDA titled "[Announcement] Delay in processing of reimbursement of travel expenses and payment of honorarium" distributed on August 12, 2022, at 9:50 a.m. The Auditors interviewed FM about the matter.

The following was confirmed.

In an audit interview conducted on January 30, 2023, the Vice President for Financial Management (VPFM) gave the name of a specific person in a particular Division as one of the reasons for the delay. The VPFM stated that he would not consider outsourcing the work, based on his experience. When the Auditor confirmed this with the Division concerned, also providing the names mentioned, the Division was not aware that this was the reason for the delay, and the FM did not contact the Division. In the audit interview, VPFM mentioned the names of a certain person in a particular Division as one of the reasons for the delay, but no contact was made by FM with the Division in question before or after that time.

In the same interview, exception handling was also mentioned as a major reason for the delay, and the auditors later confirmed the following regarding exception handling through multiple email exchanges.

- Exception handling refers to exceptional approval of travel and lodging expenses, exceptional approval of travel airfare expenses, exceptional approval of travel

reimbursements, exceptional approval of meeting expenses, etc.

- The regulations stipulate that travel, lodging, airfare, and conference expenses may be paid with the approval of the VPFM and others as an exception if they exceed the stipulated amount (PRP 29.3.8.2, PRP 26.9 Table II.1, PRP 29.3.9.2.1 and Table D). For honoraria, the items and amounts for which an honorarium is to be paid are defined, but it is stipulated that if the amount exceeds the set amount or if the amount is not applicable to an item and falls under "other," it shall be paid upon approval by the VPFM (PRP 29.3.10.2, 26.9 Honorarium Table).
- No report is made to the Board of Governors or CEO, as the PRP stipulates that the VPFM approves. PRP does not require reporting.
- Number of exceptions (through January 31, 2023, for FY2022)
  - [FY2020] 34 (12 for lodging, 0 for airfare, 2 for meetings, 8 for honoraria, 12 for other)
  - [FY2021] 42 (16 for lodging, 9 for airfare, 8 for meetings, 5 for honoraria, 4 for other)
  - [FY2022] 76 (44 for lodging, 4 for airfare, 16 for meetings, 2 for honoraria, 10 for other)

Further details were confirmed for FY2022.

- The Travel Expense Team requests JTB to confirm or correct invoices and individual ticket reimbursement forms. When OIST staff who have used JTB services, such as airline ticket reservations, contact the Travel Expense Team with inquiries or requests for confirmation, the team checks with JTB sales representatives. The response time varies depending on the nature of the issue, but the team handles about three to four cases per week, each taking about 30 minutes to an hour.
- Two cases fall into the category of those with long processing times, requiring 4 to 5 hours per case; about 10 cases with short processing times, about 10 minutes each; and cases in between the long and short ones, with processing times ranging from 30 minutes to 1 hour. For exception handling in FY2022, the Auditors decided to calculate “total processing time based on the number of cases processed per week and the time taken to process each case per week” and “total processing time based on the total number of cases processed and the time taken to process each case per week.” The two are simply different ways of looking at the same number, total processing time, depending on whether you look at it in terms of "per week" or "per case", and while there may be some differences, they should not be too far apart.
  1. The FM indicated a range of 3 to 4 cases per week, and a range of 30 minutes to 1 hour per case for processing time (such a range indicated by the FM is hereinafter simply referred to as “range”). However, a year is 52 weeks, and even if we exclude the two weeks of the year-end and New Year holidays and consider 50 weeks, the total number of cases is 150 cases as 3 cases per week, 200 cases as 4 cases per week, and 175 cases if we

take the middle of 150 and 200 cases, while the processing time is also 45 minutes if we take the middle of the range of 30 minutes to 1 hour. The time required to process 175 cases multiplied by 45 minutes would be 131.25 hours. If we assume 3 cases per week at the lower end of the range and 30 minutes per case, the total processing time would be 75 hours; if we assume 4 cases per week at the upper end of the range and about 1 hour per case, the total processing time would be 200 hours.

2. In terms of processing time, the long cases are 2 cases, which are 10 hours, assuming 5 hours on the upper end of the range, and 8 hours, assuming 4 hours on the lower end of the range; the short cases are 10 cases, about 10 minutes, or almost 1.7 hours for 10 cases, assuming 10 minutes per case. The number of cases between the long and short ones is 64, subtracting the two long ones and the 10 short ones, since the total number of cases is 76, and assuming one hour on the upper end of the processing time range and 32 hours on the lower end of the range of 30 minutes. The total processing time at the upper end of the range is 75.7 hours, taking into account that the Division for Financial Management's staff is so exhausted that it causes delays in the processing of work. On the other hand, if the total processing time is calculated at the lower end of the range, the total processing time is 41.7 hours.
3. As shown in (1) and (2), when looking at "per case," the total processing time is 75.7 hours for 64 cases, which is the largest number of cases and falls between the long and short cases, which can be considered the volume zone, and the processing time for the long cases is on the upper side. On the other hand, if the number of cases per week and the processing time are not set at the lower end of the range, the total processing time will not be 75 hours, and if they are set at the upper end of the range, the total processing time will be 200 hours, which is a large discrepancy.
4. It is questionable whether the total processing hours of work, which is less than 76 hours per year, will cause such a delay that it will not be resolved by the spring of 2023, beginning in the summer of 2022.

During the audit interview on January 30, 2023, the VPFM stated that the "attending" (as expressed by the VP) for JTB and Nippon Travel Agency, which are currently used for outsourcing, takes up a lot of Travel Expenses Team staff time. (The statement was to the effect that "attending to issues related to JTB and Nippon Travel alone already takes up a significant amount of staff time on the travel expenses team.") When the Auditors asked what the Travel Expenses Team was doing for JTB and Nippon Travel Agency, the FM responded regarding Nippon Travel Agency, "Nippon Travel Agency is outsourced separately by the Office of the President to handle BOG/BOC matters, and the Travel Expenses Team is not involved."

In regard to that response, the Auditors asked VPFM why he made that statement, to which he replied, “I gave an example because the Office of the President has a track record of outsourcing to Nippon Travel Agency separately in connection with business travel expenses.”

Furthermore, when the Auditors asked the VP why he did not explain during the same interview that the Office of the President was handling the outsourcing, he replied, “I did not make any additional explanation or correction because the fact that (OIST) outsources to JTB and Nippon Travel Agency was not in itself an erroneous explanation.”

No explanation was given as to why the different subject matters were conflated. In addition, the VP stated, “It already takes up a lot of the Travel Expenses Team staff time just attending to issues for the JTB and Nippon Travel Agency.” The VP did not provide any explanation either as to why the above explanation was given when he clearly stated that attending to issues involving Nippon Travel was taking up a great deal of the Travel Expenses Team 's staff time.

As for exception handling, there is a question as to whether the process is executed in a sincere manner, given the way the explanations are given by conflating different subject terms. Even if we put aside the question of whether it was done in a sincere manner, because the evaluation of sincerity can be subjective, since it is difficult to determine that the simple calculations using the number of cases and processing times indicated by the VP do not add up, it is still questionable whether the cases were accurately identified and handled properly.

Furthermore, the VP explained during the process of detailed confirmation by the Auditors that the staff of the Division is exhausted by the exception handling, and in this regard, some action is deemed necessary.

It is considered essential that there should be management decision-making in exception handling and that it be possible to verify what decisions were made.

- It is proposed that a list of the date of application, applicant, amount applied for, description of the application, and reasons for approving it as an exception be submitted to the Board of Governors (BOG) and Board of Councilors (BOC), and that a question-and-answer session be held as requested by the BOG/BOC.

The Auditors strongly urge that a mechanism be established to ensure verifiability and transparency of the exception handling as well.

## 6. Conclusions

The Okinawa Institute of Science and Technology School Corporation Act (Act No. 76 of 2009), the basis for the establishment of the University, states in Article 1:

“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.”

In addition, most OIST operating expense has been provided in the form of subsidies from the Japanese government.

In the 6. Conclusions section of the FY2021 Auditors’ Audit Report, the Auditors continued the above statement: “If OIST is to continue to operate in this manner, it must gain the deep understanding of the Japanese public.” As noted in 1. Introduction of this report, OIST Adjunct Professor Svante Pääbo had the great honor of receiving the Nobel Prize in Physiology or Medicine in October 2022.

Professor Svante Pääbo's prestigious award is a testimony to the high quality of the OIST faculty and, consequently, a clear indication to the Japanese public of the high quality of the University's faculty.

The Auditors sincerely hope that another honor will follow in the footsteps of Professor Svante Pääbo. However, we must not only hope for honors, but also communicate to the Japanese public in various ways and with ingenuity that the quality of OIST's research is high and that the University is already one of the top universities in the world.

The Auditors strongly hope that the University will be widely supported by a wide range of Japanese citizens as "a treasure of Okinawa and a treasure of Japan.”

Finally, in conducting the auditor's audit, we received sincere responses from all the divisions to be audited, as well as great cooperation from the University's management and other related parties. Once again, we would like to express our deep appreciation.

The original text of the Auditors’ 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. Mari Takenouchi, Ms. Akiko Ringdahl, Ms. Ryoko Sharpe and Mr. Rhett Register of CPR. In addition, during the interviews in the audit interviews, Ms. Mari Takenouchi and Ms. Akiko Ringdahl provided interpretation which enabled us to communicate in a sufficient manner. We would like to express our deepest gratitude to them.