

This is an unofficial translation of the Guidelines for Handling of the Personnel Matters of Research and Academic Staff in the Advisory Committee for Research and Management of the National Astronomical Observatory of Japan, dated July 11, 2014. Only the original Japanese text of these regulations has legal effect, and this translation is to be used solely as reference material to aid in understanding the original Japanese version.

Guidelines for Handling of the Personnel Matters of Research and Academic Staff in the Advisory Committee for Research and Management of the National Astronomical Observatory of Japan

July 11, 2014

Decision of the Advisory Committee for Research and Management

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Article 1. Purpose

These Guidelines specify necessary matters concerning the handling of the personnel matters of Research and Academic Staff that are deliberated in the Advisory Committee for Research and Management of the National Astronomical Observatory of Japan.

Article 2. Proposal for Carrying out Public Invitation

When a vacancy for any of the Research and Academic Staff occurs or is expected to occur, the Director General shall make a proposal to the Advisory Committee for Research and Management to fill the position or adjust the workplace to which such Staff member is assigned, on the basis of the deliberation in the Planning Committee. Further, the Director General may propose to the Advisory Committee for Research and Management to make an open call for recruitment accompanying such vacancy.

Article 3. Personnel Candidate Screening Committee

1. When the Advisory Committee for Research and Management deliberates based on the Director General's proposal as provided in the preceding article and decides to carry out an open call for recruitment for a Professor, Associate Professor, Associate Professor (Senior Lecturer), or Assistant Professor out of the Research and Academic Staff, the Advisory Committee shall establish a Personnel Candidate Screening Committee for each case and designate around five members (however, in the case of an Assistant Professor to be assigned to a Project Office or Center, around three members shall be designated, in which case the Director of that Project Office or Center may not be a member). The head of the Personnel Candidate Screening Committee shall be elected from among the members by mutual vote.
2. The Personnel Candidate Screening Committee shall select one or more candidates from among the applicants per open call for recruitment, summarize the reasons for selection and the selection process in a report, and submit the report to the Director General together with a list of applicants and a set of application documents at least three weeks before a meeting of the Advisory Committee for Research and Management, and when necessary, upon deliberation and approval by the Planning Committee, submit the same as approved to the Advisory Committee for Research and Management. Note that each candidate's brief biographical outline and research achievements as well as the report by the Personnel Candidate Screening Committee shall be made available for inspection by all the members of the Advisory Committee for Research and Management, in principle, prior to the selection reporting performed at the meeting of the Advisory Committee for Research and Management.
3. If there is a person determined in the Personnel Candidate Screening Committee to be matching in qualification with the finalist candidate, such person's application documents shall be presented to the Advisory Committee for Research and Management.
4. Notwithstanding the provisions of paragraph 2, if the Personnel Candidate Screening Committee determines that there is no suitable person in the applicants, it is possible to propose to the Advisory Committee for Research and Management to carry out a second round of open call for recruitment.
5. If a member or an observer of the Personnel Candidate Screening Committee is the immediate supervisor of an applicant (including the case of being a person equivalent thereto, and excluding the Director of the department expecting assignment through the open call for recruitment), such member or observer shall leave the place of deliberation at the candidate final selection stage in the Personnel Candidate Screening Committee.
6. If a member or an observer of the Personnel Candidate Screening Committee in relation to the open call for recruitment for an Assistant Professor has experience as the graduate-

school mentor of a candidate, such member or observer shall leave the place of deliberation of that candidate.

Article 4. Personnel Candidate Screening Committee for Research Engineer Group

1. A Personnel Candidate Screening Committee for Executive Engineer, Senior Research Engineer, Associate Senior Research Engineer, and Research Engineer (hereinafter, "Personnel Candidate Screening Committee for Research Engineer Group") shall be established under the Advisory Committee for Research and Management.
2. The Personnel Candidate Screening Committee for Research Engineer Group shall select one or more candidates from among the applicants per open call for recruitment, summarize the reasons for selection and the selection process in a report, and submit the report to the Director General together with a list of applicants and a set of application documents at least three weeks before a meeting of the Advisory Committee for Research and Management, and when necessary, upon deliberation and approval by the Planning Committee, submit the same as approved to the Advisory Committee for Research and Management. Note that each candidate's brief biographical outline and research achievements as well as the report by the Personnel Candidate Screening Committee for Research Engineer Group shall be made available for inspection by all the members of the Advisory Committee for Research and Management, in principle, prior to the selection reporting performed at the meeting of the Advisory Committee for Research and Management.
3. If there is a person determined in the Personnel Candidate Screening Committee for Research Engineer Group to be matching in qualification with the finalist candidate, such person's application documents shall be presented to the Advisory Committee for Research and Management.
4. Notwithstanding the provisions of paragraph 2, if the Personnel Candidate Screening Committee for Research Engineer Group determines that there is no suitable person in the applicants, it is possible to propose to the Advisory Committee for Research and Management to carry out a second round of open call for recruitment.
5. If a member or an observer of the Personnel Candidate Screening Committee for Research Engineer Group is the immediate supervisor of an applicant (including the case of being a person equivalent thereto, and excluding the Director of the department expecting assignment through the open call for recruitment), such member or observer shall leave the place of deliberation at the candidate final selection stage in the Personnel Candidate Screening Committee for Research Engineer Group.

Article 5. Interview with Professor Candidates

When carrying out personnel matters on Professor, the Advisory Committee for Research and Management may conduct an interview with each candidate, as necessary, after receipt of selection reporting by the Personnel Candidate Screening Committee.

Article 6. Voting

1. Personnel matters through open calls for recruitment shall be decided by vote in a meeting of the Advisory Committee for Research and Management after the selection reporting by the Personnel Candidate Screening Committee or the interviews provided in the preceding article.
2. Notwithstanding the provisions of Article 10, paragraph 2 of the Rules of the Advisory Committee for Research and Management of the National Institutes of Natural Sciences (NINS), an Inter-University Research Institute Corporation (NINS Rules No. 17 of 2004), personnel matters shall be adopted by affirmative votes of a majority of the attending members and two thirds or more of the number of valid votes. However, when the Advisory Committee for Research and Management determines necessary, it is possible to handle the personnel matter-related voting in accordance with the provisions of the above paragraph of the NINS Rules.

Article 7. Suspension of Deliberation

Even after the Personnel Candidate Screening Committee has selected candidate(s), members of the Advisory Committee for Research and Management may propose to the Advisory Committee for Research and Management to postpone or suspend personnel selection, carry out a second round of open call for recruitment, or reconstitute the Personnel Candidate Screening Committee.

Article 8. Personnel Matters not through Open Call for Recruitment

1. The Director General may propose to the Advisory Committee for Research and Management to have Research and Academic Staff to be promoted without making an open call for recruitment.
2. When approving the proposal in the preceding paragraph, the Advisory Committee for Research and Management shall establish a Personnel Candidate Screening Committee and designate around five members thereof. The head of the Personnel Candidate Screening Committee shall be elected from among the members by mutual vote.
3. The Personnel Candidate Screening Committee shall summarize the selection process in a report and submit it to the Advisory Committee for Research and Management. Note that each candidate's brief biographical outline and research achievements as well as the report

by the Personnel Candidate Screening Committee shall be made available for inspection by all the members of the Advisory Committee for Research and Management, in principle, prior to the selection reporting performed at the meeting of the Advisory Committee for Research and Management.

4. Personnel matters not through open calls for recruitment shall be adopted by vote after reporting by the Personnel Candidate Screening Committee. Voting method, etc. shall comply with the provisions of Article 6, paragraphs 2.

Article 9. Notice of Employment Offer, etc.

1. When selection of a candidate is determined based on the deliberation of the Advisory Committee for Research and Management, Director General shall send a notice of employment offer to the candidate.
2. At the stage of completion of the selection of candidate(s) by the Personnel Candidate Screening Committee, the Director of a Project, a Center, an Office, or the Division of Science may contact the selected candidate(s), as necessary, and with consent of Director General, to inform of an early unofficial employment offer (that he/she is a to-be-employed candidate during a period prior to the stage of the preceding paragraph).
3. Lifting of the ban on announcement of the name of the finalist candidate shall be, in principle, on or after the date of employment. However, the Director of a Project, a Center, an Office, or the Division of Science may, as necessary, lift the ban on the announcement of the name of the selected candidate before the date of employment, provided that the consent of that candidate and the informal agreement of the head of the institution to which he/she is currently affiliated (if any) have been given.

Article 10. Miscellaneous Provisions

Matters that may be necessary in regard to the implementation of personnel selection for Research and Academic Staff in addition to those set forth in these Guidelines shall be separately determined.

Supplementary Provisions

1. These Guidelines shall come into effect as of July 11, 2014, and shall apply to the personnel matters by vote of the Advisory Committee for Research and Management and the personnel matters not through open call for recruitment, both on or after the said date.
2. Abolished are the Agreed Matters concerning Personnel Matters (decided by the Advisory Committee for Research and Management on May 26, 2004), (Agreement) regarding Approval of Assistant Professor Candidates in the Advisory Committee for

Research and Management (decided by the Advisory Committee for Research and Management on May 26, 2004), (Agreement) regarding Selection of Senior Research Engineer and Research Engineer Candidates (decided by the Advisory Committee for Research and Management on May 26, 2004), (Agreement) regarding Procedures for Promotion to Professor, Executive Engineer, and Associate Professor not through Public Invitation (decided by the Advisory Committee for Research and Management on May 26, 2004), (Agreement) regarding Personnel Selection of Senior Research Engineer and Research Engineer in the Advisory Committee for Research and Management (decided by the Advisory Committee for Research and Management on January 17, 2007), and (Agreement) regarding Selection of Professor Candidates (decided by the Advisory Committee for Research and Management on January 20, 2012).

Supplementary Provision

These Guidelines shall come into effect as of September 1, 2014, and shall apply to the personnel matters voted by the Advisory Committee for Research and Management and the personnel matters not through open call for recruitment, both on or after the said date.

Supplementary Provision

These Guidelines shall come into effect as of July 1, 2015 and apply to the personnel matters about which selection reporting is performed at the meeting of the Advisory Committee for Research and Management on or after the said date.

Supplementary Provision

These Guidelines shall come into effect as of May 30, 2016.

Supplementary Provision

These Guidelines shall come into effect as of January 1, 2017.

Supplementary Provision

These Guidelines shall come into effect as of March 14, 2017.

Supplementary Provision

These Guidelines shall come into effect as of January 12, 2018.

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