

Doshisha University Conflict of Interest Management Policy

Established on March 25, 2006

Revised on July 28, 2007; March 20, 2015; May 30, 2017 and Feb 13, 2020

I Purpose

Doshisha University (hereinafter referred to as 'the University') shall establish the Doshisha University Conflict of Interest Management Policy (hereinafter referred to as 'the Policy') to clearly specify the attitude and rules that all faculty and staff, etc. of the University (hereinafter referred to as 'faculty and staff, etc.') must adhere to in order to conduct fair and efficient academic and administrative activities regarding conflict of interest issues that can unavoidably arise when the University promotes industry-academia-government collaboration activities (hereinafter referred to as 'the collaboration activities'). The University is and always has been committed to education and research in keeping with the philosophy of its founder, Joseph Neesima. The philosophy comprises three pillars: Christian principles, liberalism and internationalism. Through the cultivation of dedicated leaders who can shape the future of society, as well as the innovation and development of academic research, the University has been making valuable contributions to help develop and enhance the society, economy and culture, etc. of Japan and the wider world. In addition to social contributions through education and research, the University has an opportunity and responsibility to more proactively contribute to society in a new era of knowledge by utilizing research findings through collaborations with various external educational institutions, industries and public entities on a daily basis. In particular, as it is becoming increasingly important to energize the country's economy through the creation of new technologies and industries, sharing the university's research outcomes with society via the collaboration activities, thereby expanding employment opportunities, is increasingly expected. In addition, a new form of education has been adopted in which teachers deepen students' understanding of the real world by collaborating with external organizations, and also provide them with the opportunity to put theories they learn at university into practice in society, increasing their application ability. Therefore, the collaboration activities can be regarded as providing a grounding for students' practical education.

However, when promoting the collaboration activities, it is assumed that situations may occur in which faculty and staff, etc. duly receive financial reward from a particular company, etc., or assume a certain level of duties for the company, etc. This could occasionally lead to a conflict of interest to which the University must always pay special

attention. The University's basic policy for conflict of interest management, as well as basic guidelines for measures if a conflict of interest is determined to have occurred, are as follows:

II Definitions

For the purpose of the Policy, the terms are defined as follows:

1. 'Conflict of interest in the broad sense' shall mean conflict of interest in the narrow sense with the inclusion of contradictory duties.
2. 'Conflict of interest in the narrow sense' shall mean situations in which benefits received by faculty and staff, etc. or the University through the collaboration activities conflict with the University's mission to conduct education and research.
3. 'Conflict of interest as an individual' shall mean situations in which, among the situations of conflict of interest in the narrow sense, personal interest of faculty and staff, etc. gained through the collaboration activities contradicts the responsibilities in conducting education and research at the University.
4. 'Conflict of interest as the University (organization)' shall mean situations in which, among the situations of conflict of interest in the narrow sense, benefits of the University received through the collaboration activities contradict the social responsibilities of the University.
5. 'Contradictory duties' shall mean situations in which the responsibilities of faculty and staff, etc. in fulfilling duties for industry, etc. contradict the responsibilities in conducting duties at the University.

III Basic Policy for Conflict of Interest Management

1. The University positions social contributions through the collaboration activities as the University's third mission after education and research, and is committed to positively promoting such activities.
2. The University shall stipulate the procedures with transparency, fairness and neutrality in promoting the collaboration activities so as not to be viewed with mistrust by society.
3. The University shall prepare appropriate internal rules and systems regarding conflict of interest management so that faculty and staff, etc. can engage in the collaboration activities with security and confidence.
4. The University shall be accountable to society regarding any conflict of interest that arises in the course of the collaboration activities, and support faculty and staff, etc. in pursuance of the collaboration activities.

IV Target Individuals and Cases for Conflict of Interest Management, and Problem Resolution Criteria

1. Target Individuals

- (1) All faculty and staff members of the University (including part-time members)
- (2) Those who the Conflict of Interest Committee has deemed as necessary targets

2. Target cases

- (1) In the case where faculty and staff, etc. engage in concurrent duties or positions approved in accordance with the Rules regarding Concurrent Duties or Positions of Doshisha University Faculty and Staff
- (2) In the case where target individuals in 1. transfer or license their intellectual rights to the third party other than the University
- (3) In the case where target individuals in 1. engage in collaborative research, funded research, or research with scholarship donations
- (4) In the case where target individuals in 1. participate in research projects for external grants
- (5) In the case where target individuals in 1. receive equipment or goods
- (6) In the case where target individuals in 1. purchase equipment or goods
- (7) In the case where target individuals in 1. receive other external benefits
- (8) In the case where students participate in the collaboration activities

3. Problem Resolution Criteria

As guidelines for resolving conflict of interest issues that arise during the promotion of collaboration activities, the following three criteria shall be applied:

- (1) It is not to be judged by a third party that faculty and staff, etc. give priority to individual interest rather than the duties and interest of the University.
(Conflict of Interest in the narrow sense)
- (2) Regardless of the presence of personal interest, it is not to be judged by a third party that faculty and staff, etc. spend more time engaged in activities other than those related to the University. (Contradictory duties)
- (3) It is not to be judged by a third party that faculty and staff, etc. are interfering with the University's educational mission by prioritizing activities outside the University. (Contradictory duties)

V Structure of Conflict of Interest Management

1 Establishment of the Conflict of Interest Committee

The Doshisha University Conflict of Interest Committee (hereinafter referred to as

'the Committee') shall be established as an organization to discuss important matters regarding conflict of interest management.

Regulations regarding the Committee shall be prescribed separately.

2 Appointment of Conflict of Interest Counselors

Conflict of Interest Counselors shall be based in the Ethics Review Office.

Duties of conflict of interest counselors shall be prescribed separately.

VI Procedure of Conflict of Interest Management

1 Target individuals for conflict of interest management specified in **IV-1** must report to the Ethics Review Office any information about potential conflicts of interest that may arise through the collaboration activities.

2 Information submitted by faculty and staff, etc. shall be evaluated, documented and preserved in accordance with the Rules for Protecting Personal Information.

3 Procedure of conflict of interest management shall be prescribed separately.

VII Administration

Administrative and clerical work relating to the Policy shall be conducted by the Ethics Review Office.

The revision or abolition of the Policy shall be determined by the President of the University through the deliberation of the Committee and Directors Meeting.

Supplement

The Policy shall take effect on the first day of April, 2020.