

(Determined at the Board Meeting on February 26, 2007)

## **Kyoto University Conflict of Interest Policy**

### **1. Background and Objective of the Conflict of Interest Policy**

According to the university Mission Statement, Kyoto University's mission is not only to generate world-class knowledge through freedom and autonomy in research that conforms to high ethical standards, transmit high-quality knowledge, and promote independent and interactive learning within its broad and varied educational structure, but also to encourage cooperation with local and national society, and disseminate knowledge informed by the ideals of freedom and peaceful coexistence.

Under the Mission Statement, Kyoto University has made outstanding academic achievements and extensive contributions to society. However, Kyoto University faculty members are expected not only to perform their roles as researchers and educators, but also engage directly in social contribution through various Industry-Government-Academia Collaboration Activities. It is in this context that conflict of interest can arise.

Conflict of interest is the situation in which a conflict arises among the multiple roles an individual plays. In other words, it is a situation in which the acquisition of benefits associated with one role of an individual entails that the performance of another of their roles is sacrificed, or in which their performance of one role provides them with benefits that they cannot justify in the context of another of their roles. This also includes the issue of how much effort and time faculty members devote to which aspects of their work. National universities depend on the government for most of their operating expenses, and must be accountable for this issue.

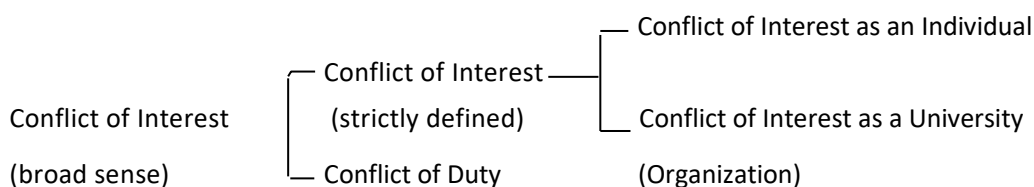
In principle, conflict of interest situations that arise as a result of Industry-Government-Academia Collaboration Activities are issues that each faculty and staff member must judge appropriately based on their own responsibilities and without neglecting their duties. In reality, however, there are some cases in which it is difficult to judge whether a conflict of interest has occurred. For this reason, it is not appropriate to leave all judgments concerning conflicts of interest to individual faculty/staff members. Rather, it is necessary to prevent conflicts of interest—not only through the university understanding the situation with regards to conflicts of interest based on reports by each faculty/staff member, but also by supporting and assisting faculty and staff members by means of a consultation system, etc.

Kyoto University has therefore formulated this policy to notify parties inside and outside the university about the university's basic stance with regards to conflict of interest, and its system for preventing conflicts of interest. The policy has been formulated independently by the university as part of its efforts to create an environment in which faculty and staff members can be involved in Industry-Government-Academia Collaboration Activities without worry.

## 2. Categories of Conflict of Interest

Conflict of interest is classified into the following categories in a report which was published by the working group established by the Committee for Promotion of Industry-Government-Academia Collaboration Activities of Technical/Research Infrastructure Committee of the Council for Science and Technology in November 2002.

Broadly speaking, conflicts of interest can be classified as “strictly defined conflicts of interest” and “conflicts of duty.” A strictly defined conflict of interest is a “situation in which profits (including royalty fees, dual employment compensation, and private equities) conflict with the university’s research and education responsibilities.” A conflict of duty is a “situation in which a faculty/staff member has employment responsibilities to a company etc., mainly through dual employment, and their employment responsibilities to the university are not compatible with their employment responsibilities to the company etc.” Strictly defined conflicts of interests comprise “conflicts of interest as an individual” and “conflicts of interest as a university (organization).” A conflict of interest as an individual is a “conflict between the benefits that a faculty/staff member gains as an individual and the responsibility that the faculty/staff member bears towards the university as an individual.” A conflict of interest as a university (organization) is a conflict between the benefits that the university organization gains and the social responsibility of the university organization.”



Although both strictly defined conflict of interest and conflict of duty are both concerned with fulfilling responsibilities at the university, a distinction is made depending on the nature of the issue. If the issue relates to “profits earned from companies etc.,” it is categorized as a strictly defined conflict of interest. If the issue relates to “responsibilities (duties) towards companies etc.,” it is categorized as a conflict of duty. In this policy, conflict of interest refers to conflict of interest in a broad sense, unless stated otherwise.

## 3. Kyoto University’s Basic Stance regarding Conflict of Interest

By understanding the circumstances of conflicts of interest that arise from social contribution activities, including industry-government-academia collaboration, which entail the appropriate

judgment of each faculty and staff member, and dealing appropriately with situations that occur in the course of these activities, Kyoto University earns the trust of society and provides an environment in which its faculty and staff members can engage in such activities with peace of mind.

To achieve this, Kyoto University requires its faculty and staff to report the details of their industry-government-academia collaboration activities. Based on the information obtained, the university may advise and guide the faculty/staff members on taking the necessary measures to avoid conflicts of interest. Also, when Kyoto University is called upon by society to explain the industry-government-academia collaboration activities etc. of its faculty and staff members with respect to its handling of conflicts of interest, it can actively respond to such requests.

#### **4. System for Preventing Conflicts of Interest**

##### **(1) Conflict of Interest Review Committee**

In order to discuss matters concerning conflict of interest, etc., Kyoto University shall establish the Conflict of Interest Review Committee (hereinafter referred to as the “Committee”). The Committee shall not only review cases of conflict of interest based on laws and regulations, including Kyoto University’s various regulations and this policy, but also discuss self-declaration, self-declaration procedures, and other matters concerning conflict of interest.

##### **(2) Conflict of Interest Advisor**

Kyoto University shall assign conflict of interest advisors in order to provide professional advice to faculty and staff members, the Committee, and other parties. Conflict of interest specialists from within and outside of the university shall be assigned as the conflict of interest counselors.

##### **(3) Disclosure of Information**

Kyoto University shall ensure accountability to society by disclosing information concerning conflicts of interest to an appropriate degree, while giving consideration to the protection of personal information.

#### **5. Other Matters**

Kyoto University shall review this policy in accordance with changes in society and changes in the circumstances of the university.