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This is an unofficial translation of the National Institutes of Natural Sciences, an Inter-University Research Institute Corporation, Conflict of Interest Management Policy dated July 23, 2009. Only the original Japanese text of this policy has legal effect, and this translation is to be used solely as reference material to aid in understanding the original Japanese version.

National Institutes of Natural Sciences,
an Inter-University Research Institute Corporation
Conflict of Interest Management Policy

April 1, 2004

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I. Purpose

The National Institutes of Natural Sciences, an Inter-University Research Institute Corporation (hereinafter referred to as “NINS”) aims at the various development of positive science which will elucidate a wide range of topics of the natural world including astronomy, matter, energy, and life based on observation, theory, experiment, and creation. Alternatively, the relationship of each natural science field is expected to create a new field of academic study, overcome various difficult problems confronting their systematization, and provide human society with abundance.

On the other hand, NINS is a tireless promoter of industry-academia-government collaboration including the licensing of joint research, delegated research, and patent in order to widely return results of research to society and achieve synergy effect by feedback into research.

However, when promoting industry-academia-government collaboration, the management of underlying interest of employees of NINS or the people involved in the other party working on public interest and collaboration, so-called conflict of interest (hereinafter referred to as “conflict of interest management”) must be exercised without fail.

In view of this, NINS shall set the Conflict of Interest Management Policy here which shows the stance and rule that employees must be continually aware of and presents a basic framework for response to acts that might be objectively seen to give priority to the interest of employees or people involved in the collaboration instead of the

interest of NINS or the public interest (hereinafter referred to as “acts involving conflict of interest”) inside and outside NINS.

II. Basic Approach of Conflict of Interest Management

- A. NINS shall call on each inter-university research institute established by NINS (hereinafter referred to as “institute”) to develop a “Guidelines on the Management of Conflict of Interest” in order to attain the purpose set forth in I.
- B. For this reason, each institute shall promptly prepare a proposal for the “Guidelines on the Management of Conflict of Interest” and seek the approval of NINS.
- C. NINS shall set a criteria for judgment for approval of the preceding paragraph and determine whether or not to approve in reference to that.
- D. NINS and each institute shall call on the outside world including industries to get an understanding of and cooperate on conflict of interest management and promote industry-academia-government collaboration by ensuring its smooth operation.
- E. Faculty members and employees must follow the conflict of interest management exercised by NINS.

III. Definition and Subject

- A. Definition of Acts Involving Conflict of Interest
 1. Acts that might be objectively seen to give priority to private interest or interest of people involved in the other party including industry-academia-government collaboration in regard to the duties of NINS
 2. Acts that might be objectively seen to infringe various rules set by NINS and give priority to activities other than NINS, in spite of the presence or absence of personal stake
 3. Acts that are expected to inhibit the formation of common property of the whole field of academic research
- B. Acts Subject to Conflict of Interest Management
 1. Subsidiary business activity (including technical guidance)
 2. When reaping economic benefits including compensation, equity holding, etc. from a party to the collaboration
 3. When NINS employees engage in technology transfers of their invention to a business enterprise, university, etc. other than NINS
 4. When participating in joint research or delegated research
 5. When receiving contributions, equipment, goods from outside

6. When giving parties, etc. from 1 to 5 and beneficiaries of an interest or benefit of some sort the run of facilities and equipment of NINS
7. When purchasing goods or receiving services from parties, etc. from 1 to 5 and beneficiaries of a benefit of some sort
8. When receiving an obvious benefit of some sort from outside and the receipt is expected in regard to other research activities
9. When working as a close coordination with outside in regard to development activities being engaged by NINS or an institute

IV. Conflict of Interest Management Structure

A. Outline of Conflict of Interest Management

1. Matters concerning conflict of interest management at the institute shall be deliberated in the Conflict of Interest Committee of the institute (hereinafter referred to as the "Institute Conflict of Interest Committee") shown in IV. C according to the Guidelines on the Management of Conflict of Interest shown in II.
2. Important matters that is deemed inappropriate to be decided in the Institute Conflict of Interest Committee including problems concerning NINS entirely shall be deliberated in the NINS Conflict of Interest Committee shown in IV. B.
3. The Institute Conflict of Interest Committee shall report the content of the deliberation on an annual basis to the NINS Conflict of Interest Committee.

B. Establishment of the NINS Conflict of Interest Committee

1. The NINS Conflict of Interest Committee shall be established as an institute to deliberate and decide important matters concerning conflict of interest management of NINS.
2. The NINS Conflict of Interest Committee shall be composed of a chairperson and members.
3. The chairperson shall be appointed from the executive director who is appointed by the president.
4. The members shall be within 10 persons and appointed by the president. Third party from outside who are specialists, persons with relevant knowledge and experience, etc. shall be included in the committee.
5. The chairperson of the Institute Conflict of Interest Committee shall be included in appointing the above-mentioned members.
6. The NINS Conflict of Interest Committee shall establish or revise or abolish the Conflict of Interest Management Policy, approve the Guidelines on the

Management of Conflict of Interest established by the Institute Conflict of Interest Committee, approve policy for conflict of interest management of the Institute Conflict of Interest Committee, and compile the status of self-declaration and monitoring concerning conflict of interest, and deliberate important matters shown in IV. A. 2 and other important matters concerning conflict of interest.

7. The chairperson shall call a committee meeting on an annual basis in principle and hold the committee meeting as needed.
8. An employee, in the case of dissatisfaction with a decision of the NINS Conflict of Interest Committee, may request a subsequent deliberation to the NINS Conflict of Interest Committee. The NINS Conflict of Interest Committee shall go through the subsequent deliberation and the president shall make a final decision. In this case, the employee shall be subject to this decision.
9. The chairperson shall, when there is a request concerning the above-mentioned dissatisfaction, call the meeting of the NINS Conflict of Interest Committee promptly.

C. Establishment of the Institute Conflict of Interest Committee

1. The Institute Conflict of Interest Committee shall be established as an institute to deliberate and decide matters concerning conflict of interest management at each institute.
2. The Institute Conflict of Interest Committee shall be composed of a chairperson and members.
3. The director general or a person who is appointed by the director general shall serve as chairperson.
4. The members shall be within 10 executive officers and employees and appointed by the director general.
5. The Institute Conflict of Interest Committee shall deliberate on preliminary consultation from an employee, establish or revise or abolish the Guidelines on the Management of Conflict of Interest of each institute based on the Conflict of Interest Management Policy, decide the policy for conflict of interest management of the Institute Conflict of Interest Committee, perform self-declaration and monitoring concerning conflict of interest, formulate an implementation plan of training concerning conflict of interest, decide measures to manage the status of interest of NINS based on a survey of self-declaration, interview, etc. of the employee and deliberate other

matters concerning conflict of interest.

6. The Institute Conflict of Interest Committee shall report the content of the deliberation on an annual basis to the NINS Conflict of Interest Committee.
7. The chairperson shall call a committee meeting and hold the committee meeting promptly as needed.
8. A secretariat shall be established in the Institute Conflict of Interest Committee.
9. The secretariat of the Institute Conflict of Interest Committee shall respond to requests of employees concerning conflict of interest, provide advice, and ask for a decision of the Institute Conflict of Interest Committee as needed.
10. Employees' acts according to the advice of the secretariat of the Institute Conflict of Interest Committee shall be sufficiently respected in the deliberation of the Institute of Conflict of Interest Committee.

V. Conflict of Interest Management Procedure and Method

A. Submission of Self-Declaration on Conflict of Interest (hereinafter referred to as "self-declaration")

Employees must submit a self-declaration to the Institute Conflict of Interest Committee to which they belong upon request of the NINS Conflict of Interest Committee.

B. Implementation of Monitoring

The Institute Conflict of Interest Committee shall perform monitoring as needed and along with the result of the self-declaration, report to the NINS Conflict of Interest Committee on an annual basis.

When implementing the monitoring, a hearing shall be carried out by an outside expert with regard to the confirmation of the content of the self-declaration concerning compensations, assets, etc. from a standpoint of protecting employee privacy.

C. Implementation of Training

Each institute shall provide employees with necessary training concerning the status of conflict of interest and its management.

D. Information Disclosure on Self-Declaration

The contents of management procedures or self-declaration concerning conflict of interest may be open to the public, however, with regard to the part pertaining to privacy, etc. utmost care of the handling of the information disclosure system shall be taken as much as possible.