

○ Kobe University Conflict of Interests Management Rules

(Established on November 22, 2005)

Revised on:	February 16, 2007	March 29, 2007
	May 31, 2007	March 28, 2008
	March 18, 2009	March 24, 2010
	April 20, 2010	June 22, 2010
	March 31, 2011	March 21, 2012
	March 27, 2013	June 25, 2013
	September 27, 2013	March 27, 2014
	March 31, 2015	September 30, 2015
	November 30, 2015	March 22, 2016
	September 20, 2016	March 31, 2017
	December 20, 2018	February 28, 2019
	March 31, 2020	March 30, 2021
	June 29, 2021	September 30, 2021
	March 31, 2022	September 30, 2022

(Purpose)

Article 1 The purpose of these rules is to provide for necessary matters concerning the appropriate management of conflict of interests (hereinafter referred to as "Conflict of Interests Management") for the university and staff members and thereby properly and efficiently promoting Collaborative Activities among Government, Industry, Academia and Citizens so as to prevent behavior leading to Conflict of Interests at Kobe university (hereinafter referred to as "University") and its university officers and staff members (including part-time staff members. Hereinafter referred to as "Staff Members".) in accordance with the Kobe University conflict of interests policy.

2 Necessary matters concerning Conflict of Interests Management in fields where the characteristics of clinical research and other research have to be considered will be provided separately.

(Definition of Terms)

Article 2 In these rules, the definition of the following terms shall be provided by the said items.

- (1) Collaborative Activities among Government, Industry, Academia and Citizens: Refers to the cooperative research (collaborative research and contracted research) conducted between the University and Companies, etc., technology transfers (licensing, transfer of rights, technical guidance), concurrent employment of Staff Members, acceptance of research grants and contributions, provision of use of facilities and equipment, purchase of goods, etc.
- (2) Conflict of Interests: This refers to situations where the social confidence of the University is damaged due to any of the following situations occurring as a result of Collaborative Activities among Government, Industry, Academia and Citizens.
 - (a) Situations where the benefits Staff Members receive (concurrent employment compensation, income pertaining to patents, holding of private equity, etc.) conflict with their responsibilities at the University;
 - (b) Situations where the benefits received by the university conflict with the social responsibilities of the University;

- (c) Situations where the responsibilities of Staff Members to perform work duties at the Companies, etc. are not compatible with responsibilities to perform work duties at the university.
- (3) Companies, etc.: Refer to companies, administrative organizations of the country or local authorities, or other organizations.
- (4) Departments: Refers to institutes, faculties, graduate schools, the Institute for Advanced Research, the Research Institute for Economics and Business Administration, the Library, the University Hospital attached to the School of Medicine, the Attached Schools' Department, the Core Organizations for Multidisciplinary Promotion of Research and Education, the Food Resources Education and Research Center, the Core Organizations for Cross-campus Management and Support, the Enterprise Partnerships Division, the Office for Promoting Regional Partnership, the Information Infrastructure and Digital Transformation Initiatives Headquarters, the Carbon Neutral Promotion Headquarters, the Office for Promoting Well-being, the office established pursuant to Article 18, paragraph 1 of the Rules of the National University Corporation Kobe University (established on April 1, 2004), and secretariats (including the Strategic Planning Office, the Auditing Office, and the Internal Control Office).

(Matters Subject to Conflict of Interests Management)

Article 3 Conflict of Interests Management will be undertaken by Staff Members in the following cases.

- (1) When engaging in concurrent employment activities (including technical guidance);
 - (2) When there are economic benefits such as remuneration and shareholding pertaining to duties at university-launched venture companies;
 - (3) When engaging in technical transfer of their own invention to Companies, etc.;
 - (4) When participating in collaborative research with Companies, etc.;
 - (5) When accepting contributions, facilities or goods, etc. from Companies, etc.;
 - (6) When providing the use of facilities and equipment of the University, or purchasing products from a benefit provider, to Companies, etc. providing benefits to Staff Members (hereinafter referred to as "Benefit Providers"), in addition to the cases listed in the preceding items.
- 2 In addition to the items prescribed in the preceding paragraph, in relation to cases listed in each item of the preceding paragraph, if this university receives benefit as an organization, Conflict of Interests Management shall be carried out.

(Responsibilities of Staff Members)

Article 4 Staff Members shall, in the case where a Conflict of Interests is a concern, make a personal effort to avoid a Conflict of Interests by consulting with the Office for Conflict of Interest Management, etc. as prescribed in Article 6.

- 2 Staff Members shall do a self-assessment once a year pertaining to Conflict of Interests as set forth by the Office for Conflict of Interest Management as prescribed in Article 6.
- 3 In addition to the provisions in the preceding paragraphs, when the Office for Conflict of Interest Management prescribed in Article 6 considers it to be particularly necessary, the Staff Members may be made to do a declaration pertaining to the Conflict of Interests.
- 4 Staff Members shall cooperate with the investigations carried out by the Office for Conflict of Interest Management as prescribed in Article 6.

(Countermeasures at Each Department)

Article 5 The head of Departments shall guide Staff Members of the said Department so as to prevent the occurrence of Conflicts of Interests.

(Office for Conflict of Interest Management)

Article 6 The deliberation and examination of material matters concerning Conflict of Interests at the University shall be conducted by the Kobe University Office for Conflict of Interest Management (hereinafter referred to as "Office for Conflict of Interest Management") in accordance with Article 11 of the Guidelines for Offices at Kobe University (established on June 29, 2021).

Article 7 Deletion

(Measures Based on Inspection Results)

Article 8 The Office for Conflict of Interest Management shall, if any investigation into Conflict of Interests resulted in concern that a Conflict of Interests may arise, conduct interviews with the relevant Staff Member where necessary and report to the President when improvements are deemed necessary.

2 The Office for Conflict of Interest Management shall, if the results of the investigation referred to in the preceding paragraph shows that a Conflict of Interests may have occurred, conduct a further investigation and report to the President whether there is an issue and the necessary measures to be taken.

3 The President shall decide the necessary measures and inform the said Staff Member and his or her Department head, pursuant to paragraph 1 and the report in the preceding paragraph.

(Filing of an Objection)

Article 9 Staff Members may file an objection in writing to the President if they are dissatisfied with the measures taken in paragraph 3 of the preceding Article. However, the objection can only be filed once.

2 The President shall instruct the Office for Conflict of Interest Management to deliberate again when he or she receives a written document pertaining to the objection.

3 The Office for Conflict of Interest Management that has received the instruction from the President shall deliberate again and promptly report the results of deliberation to the President.

4 The President shall decide the measures to the objection based on the report in the preceding paragraph and report them to the said Staff Member and his or her head of Department.

Articles 10 to 14 Deletion

(Establishment of a Conflict of Interests Advisory Board)

Article 15 The University shall have a conflict of interests advisory board.

2 The conflict of interests advisory board will respond to the President's and Office for Conflict of Interest Management's consultation regarding specialized matters concerning Conflict of Interests.

3 The conflict of interest advisory board will comprise of Conflict of Interests advisers delegated by the President from a group of experts within and outside of the university.

(Consultation on Conflict of Interests)

Article 16 The Office for Conflict of Interest Management shall respond to consultations pertaining to Conflict of Interests from Staff Members.

(Publicity Within and Outside of the University)

Article 17 The Office for Conflict of Interest Management shall carry out suitable awareness-raising activities while informing all Staff Members of the Conflict of Interest Management's principles and methods in order to raise awareness pertaining to Conflict of Interests.

2 The Office for Conflict of Interest Management shall regularly publicize the status of efforts to address Conflict of Interests at the University (excluding the parts pertaining to individual privacy).

Article 18 Deletion

(Administrative Procedures)

Article 19 The duties concerning Conflict of Interests Management will be carried out at the Personnel Division of the General Affairs Department and the Division for the Promotion of Industry-University Cooperation of the Department for Research Management and External Cooperation, in cooperation with relevant Departments.

(Other Provisions)

Article 20 In addition to the rules prescribed here, matters necessary to the implementation of these rules shall be separately prescribed.

Supplementary Provisions

These rules come into effect on November 22, 2005.

Supplementary Provisions between the original and the latest are omitted.

Supplementary Provisions (September 30, 2022)

These rules come into effect on October 1, 2022.