

## **The University of Osaka Regulations on Conflicts of Interest Management**

**The document below is an English translation of the Regulations on Conflicts of Interest Management, originally composed in Japanese. The English version of the Regulations has been provided merely as a reference for international researchers and employees. Therefore, it should not be considered an official document.**

### **Chapter 1: General**

#### Article 1: Purpose

Based on the provisions of the University of Osaka Policy on Conflicts of Interest, these regulations are intended to appropriately manage conflicts of interest involving the University of Osaka (hereinafter referred to as “the University”), the Trustees of National University Corporation the University of Osaka (hereinafter referred to as the “Trustees”) and the University’s faculty members, etc., and also intended to prevent problems arising from conflicts of interest.

#### Article 2: Definitions

“Faculty members, etc.” referred to in these regulations shall be the following persons.

- (1) The University’s full-time faculty members; and
- (2) Other persons specified by the committee described in Article 4.

#### Article 3: Cases and Acts Subject to Conflict of Interest Management

The management of conflict of interest on the basis of these regulations shall cover cases where the University receives certain benefits from a company, etc., along with the following acts in cases where they are performed by the Trustees or the faculty members, etc.:

- (1) Cases where initiatives for contributing to society are undertaken in regard to persons/bodies outside the University, including the industry-academia-government collaboration initiatives (side jobs in a company, etc., joint research, and contract research);
- (2) Cases where any of the following are obtained: money payments over a set monetary limit from a company, etc. (salaries and allowances, monetary expressions of gratitude, payments for manuscripts, etc.), the provision of benefits (goods, equipment, personnel, etc.) or financial benefits such as shares, etc. (except where received from public bodies);
- (3) Cases in which goods or services over a set monetary limit are purchased from a company etc.;
- (4) Cases in which students etc. are put to engaging in initiatives for contributing to society; or
- (5) Any other cases which the committee described in the following Article deems necessary to be covered.

## **Chapter 2: The Conflict of Interest Committee**

### Article 4: Establishment

In order to properly manage conflicts of interest, a Conflict of Interest Committee (hereinafter referred to as “the Committee”) shall be established.

### Article 5: Matters for Deliberation

The Committee shall deliberate on the following matters:

- (1) Drawing up and revising guidelines on conflict of interest;
- (2) Drawing up policies to minimize the harmful impacts of conflicts of interest;
- (3) Matters in relation to the situation of conflict of interest as a university;
- (4) Matters in relation to whether or not the University can pardon individual conflicts of interest;
- (5) Review/investigations for the purpose of conflict of interest management and procedures for such;
- (6) Matters regarding informing the public about conflict of interest; and
- (7) Other important matters regarding conflict of interest involving the University.

### Article 6: Review and Investigations for Conflict of Interest Management Purposes

The review and investigations described in Item 5 of the preceding Article shall be conducted using the following methods:

- (1) Requests for Conflict of Interest Self-Report Forms and information-gathering on businesses etc. from which the University receives certain benefits;
- (2) Hearings;
- (3) Guidance and advice, etc.;
- (4) Situational observations; and
- (5) Other methods and approaches deemed necessary for review and investigations for the purpose of conflict of interest management.

### Article 7: Procedure of Screening, Recommendations

On the basis of the review and investigations it has conducted under the provisions of the preceding Article, the Committee shall review the circumstances of conflicts of interest, and shall deliberate whether or not conflicts of interest involving the Trustees, the faculty members, etc. and the University as an institution are acceptable for the University.

2. The Committee shall make recommendations for improvements to persons engaging in conduct which requires such.
3. In cases where the Committee makes recommendations for improvements under the preceding Item, it shall monitor the situation of the said conduct of the relevant person.
4. If the person who has been given recommendations for improvements under the provision in Item 2

has objections to the said recommendations, the person can request the Committee to carry out a re-investigation.

5. When the Committee receives a request for re-investigation as given in the preceding Item, it shall promptly carry out the re-investigation.
6. The Committee shall deliberate on whether or not improvements are required in regard to the conduct for which re-investigation has been requested, and shall report the outcome of its deliberations to the President.
7. In cases where the President has received the report given in the preceding Item, and where improvements in regard to the said conduct are deemed necessary, the President shall order the person engaging in the said conduct to undertake improvements. In cases where improvements are not deemed necessary, the recommendations for improvements shall be revoked and the person engaging in the said conduct shall be informed to such effect.

#### Article 8: Storage of the Conflict of Interest Self-Report Form, Etc.

The Committee shall manage as confidential documentation the Conflict of Interest Self-Report Forms, etc. which have been submitted to it, and shall store them.

#### Article 9: Training Sessions

The Committee shall hold regular training sessions, in particular for those Trustees and the faculty members, etc. subject to conflict of interest management.

#### Article 10: Disclosure of Information to outside the University

Within the required scope, the Committee shall disclose information in regard to conflict of interest to outside the University to the extent necessary, thus fulfilling its duty of accountability to the public.

2. The Committee shall deal with matters such as review and investigations of conflict of interest carried out by persons/bodies from outside the University.
3. In disclosing information in regard to conflict of interest to outside the University, the Committee shall pay due care to protecting personal information on the Trustees, the faculty members, etc. and other persons.

#### Article 11: Committee Structure

The Committee shall consist of the following members.

- (1) Executive Director in charge of Co-Creation Bureau;
- (2) Each one member nominated by the President from among professors of the Graduate School of Engineering, and among professors of the Graduate School of Medicine, respectively;
- (3) One member nominated by the President from among professors of the Graduate School of Humanities, Human Sciences, Law and Politics, Economics; Osaka School of International Public Policy; The University of Osaka Law School; or Institute of Social and Economic Research;

- (4) One member nominated by the President from among professors of the Graduate School of Science, Engineering Science, Information Science and Technology; SANKEN (The Institute of Scientific and Industrial Research); Institute for Protein Research; Joining and Welding Research Institute; Institute of Laser Engineering; Research Center for Nuclear Physics; or D3 Center;
  - (5) One member nominated by the President from among professors of the Graduate School of Dentistry, Pharmaceutical Sciences, Frontier Biosciences; United Graduate School of Child Development, The University of Osaka, Kanazawa University, Hamamatsu University School of Medicine, Chiba University and University of Fukui; or Research Institute for Microbial Diseases;
  - (6) A few members nominated by the President from among experts outside the University serving as Conflict of Interest advisory staff as stipulated in Article 20;
  - (7) Head of Personnel Division of the Department of General Affairs, and the Head of Co-Creation Affairs Division of the Department of Co-Creation Promotion; and
  - (8) Other members deemed necessary by the Committee.
2. The term of office of the Committee members nominated by the President under the preceding Item (2) to (6) shall be 2 years; provided, however, that the term of office of Committee members who are filling a vacancy shall be the remainder of their predecessor's term.
  3. The Committee member set forth in the preceding Item shall not be prevented from the reappointment.
  4. Honorariums shall be paid to the Committee members of the outside experts on the basis of National University Corporation the University of Osaka's Regulations on Honorariums.

#### Article 12: The Chairperson of the Committee

- A Committee Chairperson shall be placed on the Committee, to be appointed to the Executive Director in charge of Co-Creation Bureau.
2. The Committee Chairperson shall convene the Committee and preside over it; provided, however, that in cases where the Committee Chairperson is unavoidably absent, a Committee member nominated in advance by the Committee Chairperson shall do so on the Committee Chairperson's behalf.

#### Article 13: Meetings of the Committee

As a general rule, the Committee shall meet twice a year; provided, however, that meetings shall be held on an ad-hoc basis where deemed necessary.

#### Article 14: Quorum and Resolutions

- An attendance of two-thirds or more of the members of the Committee shall constitute a quorum.
2. Resolutions shall be carried by majority of those present. In case when the votes are equally divided, the President shall decide the issue.

#### Article 15: Hearings of Opinion

Where deemed necessary, the Committee may request non-members to attend its meetings, and hear their opinions.

### **Chapter 3: The Conflict of Interest Advisory Board**

#### Article 16: Establishment

In order to obtain advice on conflict of interest as a university, a Conflict of Interest Advisory Board (hereinafter referred to as the “Advisory Board”) shall be put in place in the University.

#### Article 17: Duties of the Advisory Board

The Advisory Board shall carry out the following duties:

- (1) Answering inquiries from the Committee on conflict of interest as a university; and
- (2) Other tasks which the Committee has referred to the Advisory Board.

#### Article 18: Board Structure

The Advisory Board shall consist of a small number of Committee members including experts from outside the University, and the Trustees and/or the faculty members. More than half of the Committee membership shall consist of experts from outside the University.

2. The President shall appoint the Committee members under the preceding Item, and their term of office shall be 2 years; provided, however, that the term of office of Committee members who are filling a vacancy shall be the remainder of their predecessor’s term.
3. The Committee member set forth in the preceding Item shall not be prevented from the reappointment.
4. Honorariums shall be paid to Committee members from outside the University, on the basis of National University Corporation the University of Osaka’s Regulations on Honorariums.

### **Chapter 4: Conflicts of Interest Consultation Office**

#### Article 19: Establishment

In order to prevent problems of conflict of interest from happening before they become full-blown, a Conflicts of Interest Consultation Office (hereinafter referred to as the “Consultation Office”) shall be put in place as a liaison point for the Trustees and faculty members, etc. The Consultation Office shall operate under the Conflict of Interest Committee.

#### Article 20: Office Structure

The Consultation Office shall be composed of a small number of conflict of interest advisory staff drawn from experts from outside the University and the University’s faculty members.

2. Conflict of interest advisory staff shall be appointed by the Committee Chairperson of the

Committee.

3. Honorariums shall be paid to conflict of interest advisory staff from outside the University, on the basis of National University Corporation the University of Osaka's Regulations on Honorariums.

#### Article 21: Duties of Advisory Staff

Conflict of interest advisory staff shall carry out the following duties:

- (1) Matters in relation to the required review, investigation, advice and guidance in regard to inquiries and consultations on conflict of interest by the Trustees and the faculty members, etc.;
- (2) The collation and submission of reports on its tasks to the Committee; and
- (3) Reviewing, investigating, examining and answering regarding other conflict of interest-related matters referred to it by the Committee.

### **Chapter 5: Maintenance of Confidentiality**

#### Article 22: The Duties of Committee Members, Etc.

The members of the Committee, the Committee of the Advisory Board, along with conflict of interest advisory staff, shall not leak any confidential information of which they have become aware in the course of performing their duties. The same shall apply after such members have left the Committee etc. on which they served.

2. The provisions of the preceding Item shall apply mutatis mutandis to those persons requested to attend meetings of the Committee as described in Article 15, and to the persons undertaking administration work described in the following Article.

### **Chapter 6: Administration**

#### Article 23: Administration

Administration work for the Committee, the Advisory Board and the Consultation Office shall be carried out by the Co-Creation Affairs Division of the Department of Co-Creation Promotion , with the cooperation of the relevant faculty offices.

### **Chapter 7: Miscellaneous**

#### Article 24: Miscellaneous

Matters necessary in relation to the management of conflicts of interest other than those set forth in these regulations shall be separately provided.

Supplementary Provision

These regulations have been in force since October 21, 2004.

Supplementary Provision

This revision has been in force since April 1, 2005.

Supplementary Provision

This revision has been in force since, October 1, 2007.

Supplementary Provision

This revision has been in force since, April 1, 2008.

Supplementary Provision

This revision has been in force since April 1, 2009.

Supplementary Provision

This revision has been in force since April 1, 2011.

Supplementary Provision (excerpt)

(Effective Date)

1 This revision has been in force since April 1, 2012.

Supplementary Provision

This revision has been in force since April 1, 2014.

Supplementary Provision

This revision has been in force since April 1, 2015.

Supplementary Provision

This revision has been in force since August 31, 2015.

Supplementary Provision

This revision has been in force since April 1, 2016.

Supplementary Provision

This revision has been in force since April 1, 2017.

Supplementary Provision

This revision has been in force since August 26, 2017.

(Effective Date)

1 This revision has been in force since January 1, 2018.

(Provisional measures concerning terms of office of the members of the Expert Committee)

2 The term of office of the first member from the Office of Industry-University Co-Creation to be appointed after the effective date of this amendment shall expire on January 31, 2019, regardless of the provisions of the main clause of Article 18, paragraph 2,

Supplementary Provision

This revision has been in force since April 1, 2018.

Supplementary Provision

This revision has been in force since August 26, 2019.

Supplementary Provision

This revision has been in force since April 1, 2020.

Supplementary Provision

This revision has been in force since October 1, 2020.

Supplementary Provision

This revision has been in force since April 1, 2021.

Supplementary Provision

This revision has been in force since April 1, 2022.

Supplementary Provision

This revision has been in force since February 1, 2024.

Supplementary Provision

This revision has been in force since October 1, 2024.