



Conflict of Interest Self-Reporting System

**for cooperation with external organizations and communities
(2020 Implementation Guidelines)**

June 2020
Conflict of Interest Management Committee

Conflict of Interest Self-Reporting System for 2020 Cooperation with external organizations and communities (Implementation Guidelines)

As the University advances its cooperation with external organizations and communities, it faces every day the possibility of conflicts of interest arising from such activities. Respecting faculty and staff members voluntary activity maximally and rather than treating conflicts of interest as inherently negative, the Conflict of Interest Management Committee manages conflicts of interest with the aim of protecting faculty and staff from troubles by preventing from damages or suspicions in society concerning such conflicts and keeping their impacts to a minimum, as well as ensuring appropriate accountability and disclosure in the event they do arise.

Now, the Committee introduces the status check of conflict of interest for the 2020 academic year, which have been conducted regularly since the 2014 academic year. This is an opportunity for individual members of faculty and staff to check themselves on the status of conflicts of interest related to cooperation with external organizations and communities. We believe that by answering the questions in this document you will be able to appreciate the status of any conflicts of interest involving yourself. At the same time, we intend to manage the status of conflicts of interest in the university by having faculty and staff submit the results of the questionnaire to us. The cooperation of faculty and staff is appreciated.

Please note that the answers provided and results of totaling responses will be used only for purposes of management of conflicts of interest.

1. Purpose

To manage conflicts of interest appropriately (e.g., preventing problems, minimizing impacts, and ensuring appropriate accountability and disclosure) through developing a system under which faculty and staff members inspect the status of conflicts of interest (※) related to their own cooperation with external organizations and communities and report to the university any matters that should be managed by the university.

(※) The possibility of loss of judgment (i.e., loss of objectivity) in research, education, contracting, purchasing, or other activities or in business decisions resulting from personal interests or responsibilities in cooperation with external organizations and communities

2. Eligible persons

Professors, associate professors, instructors, counselors, chaplains, assistant professors, project professors, project associate professors, education instructors, lecturer in english education , laboratory technicians, PDs, career support coordinators, specialist advisers, education and research coordinators, full-time contracted staff, full-time staff, full-time doctor

Notes: Complete for all cooperation with external organizations and communities in which you are involved, whether conducted by the University or by you as an individual.

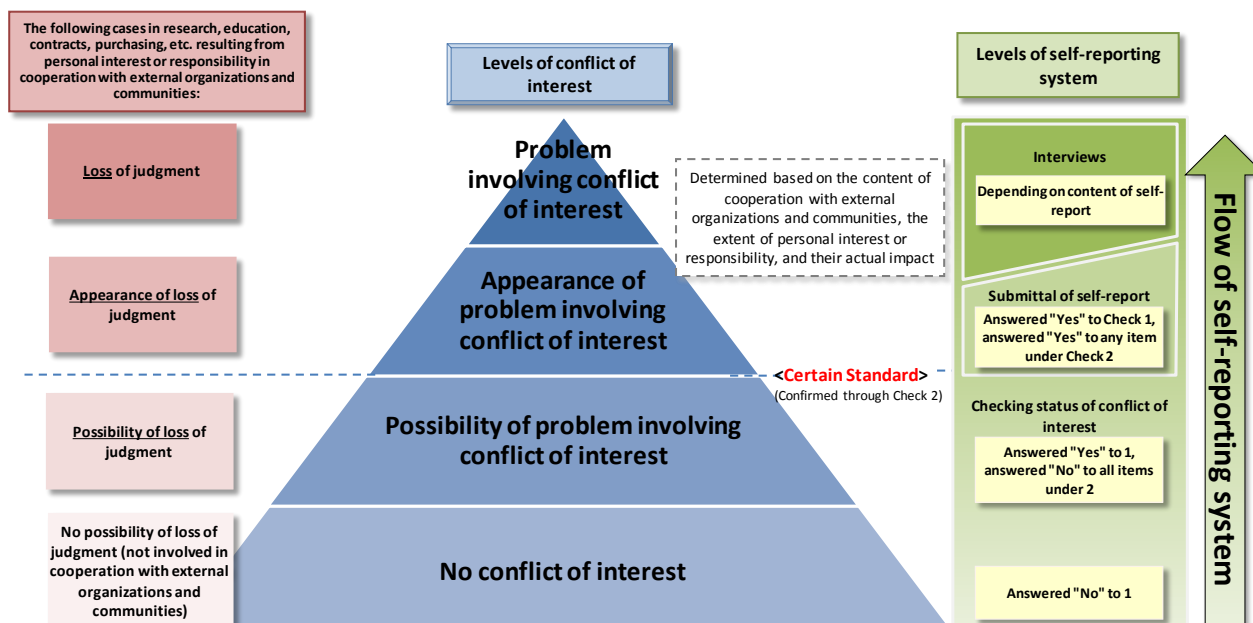
:Even if you do not take part in any cooperation with external organizations and communities, you must indicate that fact in your responses.

3. Period

Covers cooperation with external organizations and communities during the 2019 academic year (April 1, 2019 - March 31, 2020)

4. Activities and overview

- (1) Check of status of conflicts of interest: Answer the questions on the Check Sheet and then, depending on the results, advance to step (2), "Submit self-report."
- (2) Submit self-report: Submit your self-report to the Committee and then, depending on the content of the report, advance to step (3), "Interview."
- (3) Interview: Conducted as deemed necessary by the Committee



5. Deadlines

- (1) Check of status of conflicts of interest: Monday, July 6, 2020
- (2) Submit self-report: Monday, July 6, 2020
- (3) Interview: As necessary, you will be notified by the Committee of the time of the interview

6. Handling of data

Data and information used in the self-reporting system, such as answers to Check Sheets, self-reports, and records of interviews, will be used for purposes such as Committee deliberations and other activities and inspections. The data and information will be managed strictly by the Committee Secretariat pursuant to the document handling rules of the Rikkyo Schools Main Office and Rikkyo University, under the responsibility of the Chair of the Committee. The Chair of the Committee shall determine whether to release any data or other information in response to requests for such release. However, in principle any information released shall be released only in the form of results of statistical inspection, and personal data or similar information shall not be released.

7. Inquiries

【Committee Secretariat】 : E-mail coi@rikkyo.ac.jp

<Sections responsible> :

Personnel, Division of Personnel (first floor, office Building Annex), ext.: 2245

Center for Research Initiatives (second floor, Building No. 12), ext.: 4674

Notes: See the Conflict of Interest Status Check Implementation Guidelines and the Self-Reporting

Guidelines for procedures on checking the status of conflicts of interest and submitting self-reports.

:See the URL below for information concerning the University's conflict of interest management system:

<http://www.rikkyo.ac.jp/research/initiative/coi/>

Conflict of Interest Status Check Implementation Guidelines

The conflict of interest status check is conducted via the Web (using Google Form). Contact the Committee Secretariat if you would prefer to conduct the check in paper format.

i Click on the URL of the conflict of interest status check.

https://docs.google.com/forms/d/e/1FAIpQLSfHsvKvSsThrosL-GWZjy0vsEOi15m9wmzBRteBgtB8z-5UVQ/viewform?usp=sf_link

ii Log in. (Log in using your V-Campus ID.)

iii Conduct the check by answering the questions on each page. The check will be complete after you have confirmed the diagnostic results and submitted the record of your answers.

(Refer to the “Steps from Logging In through Submitting Answers” and “Details of Each Page” below.)

【Steps from Logging In through Submitting】

1. Check of attributes

《a1》 Provide your job title.

《a2》 Provide your affiliation.

《a3,a4》 Provide your name, Rikkyo ID number.

2. Check of status of conflicts of interest

《b1》 Check 1

Provide answers concerning your cooperation with external organizations and communities status during the 2019 academic year. (See below concerning cooperation with external organizations and communities subject to conflict of interest management.)

《b2》 Check 2

Provide answers concerning any economic interests related to cooperation with external organizations and communities.

3. Diagnosis results

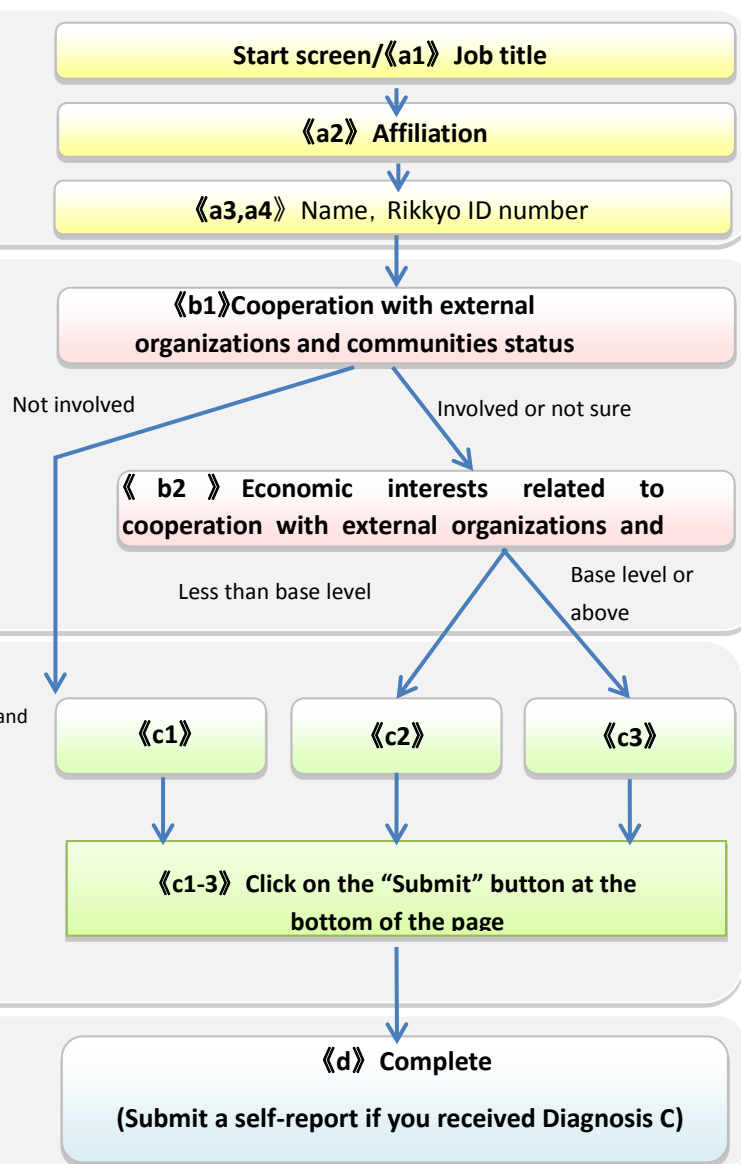
《c1》 Diagnosis A: Not involved in cooperation with external organizations and communities

《c2》 Diagnosis B: Involved in cooperation with external organizations and communities but receiving economic interests in connection with such activities at less than the base level

《c3》 Diagnosis C: Involved in cooperation with external organizations and communities and receiving economic interests in connection with such activities at or above the base level

4. Completion

《d》 The check is complete when the message “A record of your answers has been submitted” appears.



Cooperation with external organizations and communities Subject to Conflict of Interest Management

<Cooperation with external organizations and communities conducted by the University>

- Acceptance of endowments*1
- Acceptance of research grants-in-aid*1
- Joint research, subcontracted research, subcontracted operations, or academic guidance activities based on contractual agreements*1

<Cooperation with external organizations and communities conducted as an individual>

- Serving as a committee member or in other positions
- Academic guidance (consulting)*1
- Licensing or transfer of rights to intellectual property
- Serving in concurrent positions*2

- Licensing or transfer of rights to intellectual property
 - Acceptance of researchers and others
 - Endowed courses
 - Ownership of stock shares*3
 - Activities similar to cooperation with external organizations and communities
- *1 Not including acceptance or provision of scientific research expenses related to domestic or foreign public agencies (i.e., governments, independent administrative agencies, semi-governmental corporations, or other government-related agencies, local government agencies, and related agencies)
- *2 Not including concurrent instructor positions
- *3 Ownership of non-publicly traded shares or publicly traded shares held for other than asset-management purposes (5% or more of shares issued and outstanding)

【Details of Each Page】

	Page	Content	Choices
1. Check of attributes	a1	Q1: Provide your job title.	Professor, associate professor, instructor, counselor, chaplain, assistant professor, project professor, project associate professor, education instructor, lecturer in english education, laboratory technician, PD, career support coordinator, specialist adviser, education and research coordinator, full-time contracted staff, full-time staff, full-time doctor
	a2	Q2: Provide your affiliation.	College of Arts, College of Economics, College of Science, College of Sociology, College of Law and Politics, College of Tourism, College of Community and Human Services, College of Business, College of Contemporary Psychology, College of Intercultural Communication, Graduate School of Business Administration, Graduate School of Social Design Studies, Graduate School of Intercultural Communication, Graduate School of Christian Studies, Law School, Graduate School of Artificial Intelligence and Science, Other
	a3,a4	Q3: Provide your name, number of faculty and staff	

	Page	Content	Choices
2. Check of status of conflicts of interest	b1	Check 1: Cooperation with external organizations and communities status during the 2019 academic year	
		Q1: During the 2019 academic year (April 1, 2019-March 31, 2020), did you take part in any cooperation with external organizations and communities subject to conflict of interest management? Note: If you are not sure whether an activity qualifies as a cooperation with external organizations and communities, choose "Not sure."	Yes No Not sure
	b2	Check 2: Economic interests related to cooperation with external organizations and communities Note: If you answered "Not sure " under Check 1, answer the following questions on the assumption that the activity qualifies as a cooperation with external organizations and communities.	
		Q1: Have you or a family member (spouse or first-degree relative living on the same livelihood) ever owned, or do you or the family member now own, non-publicly traded stock in a company related to cooperation with external organizations and communities?	Yes No
		Q2: Have you or a family member (spouse or first-degree relative living on the same livelihood) ever owned, or do you or the family member now own, 5% or more of publicly traded stock in a company related to cooperation with external organizations and communities? (Answer for the total holdings of you and your family members.)	Yes No
		Q3: Have you or a family member (spouse or first-degree relative living on the same livelihood) ever owned, or do you or the family member now own, stock options of a company related to cooperation with external organizations and communities?	Yes No
	Q4: Have you or a family member (spouse or first-degree relative living on the same livelihood) ever received, or do you or the family member plan to receive in the future, provision of any loan, guarantee, goods, services, etc. from a company (or corporation, organization, or individual)	Yes No	

		related to cooperation with external organizations and communities?	
		Q5: Have you or a family member (spouse or first-degree relative living on the same livelihood) ever received, or do you or the family member expect to receive in the future, remuneration or donations totaling 1 million yen or more per year from any single company (or corporation, organization, or individual) related to cooperation with external organizations and communities? (Answer for the total amount for you and your family members.)	Yes No
		Q6: How many of the questions Q1-Q5 of Check 2 did you answer "Yes"?	None 1-5

	Page	Content
3. Diagnosis results	c1	Diagnosis A: Not involved in cooperation with external organizations and communities subject to conflict of interest management You do not need to submit a self-report at this time.
	c2	Diagnosis B: Involved in cooperation with external organizations and communities subject to conflict of interest management but receiving economic interests in connection with such activities at less than the base level Although you do not need to submit a self-report at this time, you may submit a voluntary self-report.
	c3	Diagnosis C: Involved in cooperation with external organizations and communities subject to conflict of interest management and receiving economic interests in connection with such activities at or above the base level Please submit a self-report. Fill out the necessary information on the designated form and submit it to the Conflict of Interest Management Committee.

	Page	Content
4. Completion	d	《Completion page》 Your answers have been recorded. Thank you for your cooperation. If you received Diagnosis C, please submit a self-report.

Self-Report Submittal Guidelines

Fill out the required information on the Microsoft Word form and submit it to the Committee.

i Download the form and fill out the required information.

https://www.rikkyo.ac.jp/research/initiative/aid/interior/papers/asset/15-5_200618.doc

ii Submit the report as an email attachment (coi@rikkyo.ac.jp).

Date (Y/M/D): / /

To: Chair, Conflict of Interest Management Committee, Rikkyo University

(Affiliation) _____

(Title) _____

(Name) _____

(Tel.) _____

(Email) _____

Self-Report on Conflict of Interest

I. Period subject to report

April 1, 2019 - March 31, 2020

II. Content of cooperation with external organizations and communities

<p>1. Name of company, organization, etc. (Submit one self-report for each company, organization, etc.)</p>	<p>Official name:</p> <p><input type="checkbox"/> Also involved in cooperation with external organizations and communities with companies, organizations, etc. other than the above</p>
<p>2. Type of cooperation with external organizations and communities</p>	<p>< Cooperation with external organizations and communities conducted by the University ></p> <p><input type="checkbox"/> Acceptance of endowments*¹</p> <p><input type="checkbox"/> Acceptance of research grants-in-aid*¹</p> <p><input type="checkbox"/> Joint research, subcontracted research, subcontracted operations, or academic guidance activities based on contractual agreements*¹</p> <p><input type="checkbox"/> Licensing or transfer of rights to intellectual property</p> <p><input type="checkbox"/> Acceptance of researchers and others</p> <p><input type="checkbox"/> Endowed courses</p> <p>< Cooperation with external organizations and communities conducted as an individual ></p> <p><input type="checkbox"/> Serving as a committee member or in other positions</p> <p><input type="checkbox"/> Academic guidance (consulting)*¹</p> <p><input type="checkbox"/> Licensing or transfer of rights to intellectual property</p> <p><input type="checkbox"/> Serving in concurrent positions*²</p> <p><input type="checkbox"/> Ownership of stock shares*³</p> <p><input type="checkbox"/> Activities similar to cooperation with external organizations and communities</p> <p>*¹ Not including acceptance or provision of scientific research expenses related to domestic or foreign public agencies (i.e., governments, independent administrative agencies, semi-governmental corporations, or other government-related agencies, local government agencies, and related agencies)</p> <p>*² Not including concurrent instructor positions</p> <p>*³ Ownership of non-publicly traded shares or publicly traded shares held for other than asset-management purposes (5% or more of shares issued and outstanding)</p>

3. Content and time of activity	(Content of activity) (Time of activity)
4. Impact of the above activity	Is there a possibility that this activity could hinder activities in the university? <input type="checkbox"/> Yes (details: _____) <input type="checkbox"/> No

III. Details of conflict of interest related to cooperation with external organizations and communities

(Instructions)

- Check the items that apply below and enter the details in the parentheses.
- If you have multiple interests, enter all of them below, even if they do not exceed the individual base levels.
- If you receive a Ministry of Health, Labour and Welfare grant-in-aid for scientific research, you must submit the separate Application.

Including spouse or first-degree relative living on the same livelihood

1. Stock shares	<input type="checkbox"/> Ownership of non-publicly traded stock: Shares: (shares) ; percentage: (%)
	<input type="checkbox"/> Ownership of publicly traded stock*4: Shares: (shares) ; percentage: (%) *4 Report if you own 5% or more of shares issued and outstanding
	<input type="checkbox"/> Ownership of stock options: Shares: (shares) ; percentage: (%)
	<input type="checkbox"/> Sale of stock*5: Shares: (shares) ; sale price: (yen) * 5 Report if you sold non-publicly traded stock or stock for which you owned 5% or more of shares issued and outstanding ,during the period subject to report.)
	<input type="checkbox"/> Not applicable
2. Income (Report if the amount received from a single company or organization totals 1 million yen or more per year.)	<input type="checkbox"/> Royalty income; amount: (yen); details: ()
	<input type="checkbox"/> Lecture fees, manuscript fees; amount: (yen); details: ()
	<input type="checkbox"/> Endowments; amount: (yen); details: ()
	<input type="checkbox"/> Dividends; amount: (yen)
	<input type="checkbox"/> Other (salary etc.); amount: (yen); details: ()
	<input type="checkbox"/> Not applicable
3. Benefits (loans, goods, etc.)	<input type="checkbox"/> Receipt of loan; amount: (yen) details: ()
	<input type="checkbox"/> Receipt of guarantee; amount: (yen) details: ()
	<input type="checkbox"/> Receipt of goods or use of facilities free of charge; equivalent amount: (yen) details: ()
	<input type="checkbox"/> Receipt of services free of charge; equivalent amount: (yen) details: ()
	<input type="checkbox"/> Other; details: ()
	<input type="checkbox"/> Not applicable



RIKKYO UNIVERSITY

Conflict of Interest Management Committee, Rikkyo University

【Secretariat】 email: coi@rikkyo.ac.jp

Human Resources Office, Human Resources Division, Rikkyo University

(first floor, Office Building Annex)

Tel.: 03-3985-2245

Research Initiative Center, Rikkyo University (second floor, Building No. 12)

Tel.: 03-3985-4674