For universities and research institutes

Checklist for New Risks Associated with Increasing Internationalization and Openness of Research

1. General matters

☐ Do you have a system for paying attention to the risks of conflicts of interest and commitment, deteriorating trust*, and technology outflows and information leaks (hereinafter referred to as the "risks") when researchers and other staff belonging to your organization engage in joint research, human resource exchange, etc. with foreign organizations and universities (including receiving funds, goods such as facilities, equipment, and devices, and human resources), and do you have a system to seek appropriate responses as an organization as necessary?

- Do you have a help desk for consultation when researchers and other staff who belong to your organization become concerned of the risks?
- Do you offer opportunities for researchers and other staff who belong to your organization to receive education and training regarding the risks?
- When your organization has concerns over some risks, do you have a system for grasping the information and responding to those risks?

*For example, when applying to a research solicitation, a researcher did not provide information regarding joint research with a foreign organization that is subject to restrictions overseas, resulting in a situation where false statements or conflict of interest are suspected, deteriorating the trust in the researcher.

☐ Are you receiving reports from researchers and other staff who belong to your organization on information related to ensuring transparency of research activities (work history, research history, all organizations you currently belong to and positions there [including concurrent positions, participation in a foreign recruitment program, the position of honorary professor without employment contract, etc.], various support you are receiving from external organizations) based on the rules of the organization and managing the information?

- Do you have a mechanism to make necessary confirmation of information submitted by researchers and other staff who belong to your organization corresponding to the level of risks including technology outflows such as comparison with information that can be obtained separately?

- Do you have a mechanism to implement a fresh risk assessment when there are changes to the risk level of an external organization with which researchers and other staff belonging to your organization are associated in some way?

2. Matters regarding the procedures for collaboration and agreement with foreign organizations or universities and offering of compensations and goods from foreign countries

☐ When researchers and other staff who belong to your organization exchange contracts such as Memorandum of Understanding (MOU), etc. in collaboration and signing agreement with foreign organizations, universities, etc., are you as an organization, going through an appropriate process such as confirming and judging in accordance with rules, etc.?

- Are you requesting them to present documents for such confirmation?
- Upon confirmation, are you requesting them to present information regarding the participating members of your organization and of the counterpart in the collaboration or contract?
- Are you assessing risks associated with the organization and participating members of the counterpart using the End User List and Entity List of other countries as well as comparing with information that can be obtained separately?
- When your organization has concerns over some risks, do you have a system for grasping the information and responding to those risks?
- Do you have a help desk where researchers and other staff belonging to your organization can seek advice before exchanging documents?

☐ Do you have a mechanism as an organization to receive appropriate report when researchers and other staff who belong to your organization receive subsidies, grants, compensation*, and goods from foreign organizations or universities?

- Do you have a help desk for consultation for researchers and other staff who belong to your organization when concerns arise regarding the above-mentioned risks?
- When your organization has concerns over some risks, do you have a system for grasping the information and responding to those risks?

*Compensation: incentive, salary for concurrently held position, prize money, gifts, donations, travel expenses, lecturer's fee, writing fees, etc.

☐ If there is a long-standing collaboration or contract between researchers and other staff belonging to your organization with a foreign organization or university, do you have a mechanism to appropriately receive a report from the concerned researchers and other staff regarding the details when there is a substantial change in the participating members of the counterpart or the content of research jointly implemented?

- Do you have a help desk for consultation for researchers and other staff of your organization when there are concerns over the above-mentioned risks regarding collaboration and contracts with foreign organizations and universities?
- When your organization has concerns over some risks, do you have a system for grasping the information and responding to those risks?

☐ Do you have a mechanism for researchers and other staff belonging to your organization to deepen the recognition that there are risks even in collaborations with foreign organizations and universities where documents are not exchanged or which does not involve compensation and goods?

- Do you have a help desk for consultation for researchers and other staff who belong to your organization when concerns arise regarding the above-mentioned risks?

☐ If a researcher or staff member belonging to your organization goes on a business trip to a specific foreign country over a long period of time or frequently, do you have a system that allows your organization to appropriately grasp the content and aim of the trips?

- Are you assessing risks associated with the organization, which is the counterpart of the business trip and the participating members using the End User List and Entity List of other countries as well as comparing with information that can be obtained separately?
- Do you have a mechanism to make necessary confirmation of information submitted by researchers and other staff who belong to your organization corresponding to the level of risks including technology outflows such as comparison with information that can be obtained separately?

☐ Does your organization have a mechanism to deepen awareness among the

organization's researchers and other staff to appropriately understand what kind of deliverables are expected in joint research with foreign organizations or universities?

- In the process of research jointly conducted with foreign organizations or universities, are researchers and other staff belonging to your organization paying attention to the risk of joint research being used outside the purpose of the research including those negatively affecting Japan's security, economy, and society?
- If the said risks become a concern, do you have a help desk for consultation for these researchers and other staff belonging your organization?

3. Matters regarding the counterparts of collaborations and agreements with foreign organizations or universities

☐ When researchers and other staff belonging to your organization enter into collaboration or contract with foreign organizations or universities, are you appropriately confirming the information regarding the organization and participating members of the opposite party and the purpose of the collaboration or contract?

- Are you assessing risks associated with the organization and participating members of the counterpart using the End User List and Entity List of other countries as well as comparing with information that can be obtained separately?
- When your organization has concerns over some risks, do you have a system for grasping the information and responding to those risks?