

## Conflict of Interest Policy of the Japanese Society of Periodontology

### Preamble

Researches presented at scientific meetings and in publications and similar events as activities of the Japanese Society of Periodontology (hereafter called “this Society”) include dental research to evaluate and verify pharmaceutical agents, dental materials, medical devices, medical technology, and education. This research is significantly promoted by industry-academia collaboration with particular businesses. There are few factors interfering with academic fairness, neutrality, and social responsibility in such dentistry research based on scientific interest alone. However, when dental research and studies are performed in an industry-academia collaboration with a profit-making business/organization, researchers themselves or their affiliated institutions obtain some benefits. As such, the research may no longer be performed strictly for scientific interest and situations may conflict with and contradict the intentions of the individual and the for-profit organization. In other words, researchers and organizations (university, research/education institutions, medical institutions, academic associations, etc.) will experience potential conflicts and contradictions between academic intentions (original scientific interest) as dental researchers or educators/clinicians, including social responsibility and fairness/neutrality, and the benefits of individuals and organizations in industry-academia collaboration activities. Such a situation is referred to as a “conflict of interest (COI)”. A COI can affect research results and education, social activities, and clinical practice. A COI in which the goal is to “obtain benefits for a person using their position” should be avoided.

Medical/dental/pharmaceutical education institutions, medical institutions, and academic associations maintain fairness, transparency, and social credibility, and promote bioscience research in an appropriate manner. Furthermore, society requires individuals and organizations engaged in dental research to control the above-mentioned COI situations appropriately. More precisely, dental researchers are responsible for pursuing original scientific interest and working for patient and social benefits, even if there are COIs with business or financial sponsors. Furthermore, study methods, data analysis, and results should be reported in an accurate and unbiased manner with protection of the human rights and safety of subjects. There is a responsibility to announce the presence of existing COIs to society and citizens, as well as to subjects. Thus, COI management is required that fulfills these responsibilities and duties.

The Japanese Association for Dental Science enacted and announced guidelines for “COI policy for dental research” in January 2014 for use in universities, research institutions, and medical institutions with which its subcommittees and members are affiliated. The Japanese

Society of Periodontology hereby sets forth its policy concerning COI based on a common policy in accordance with these guidelines and in adherence with the conditions in this Society.

## 1. Objective

Since its establishment in 1958, the Japanese Society of Periodontology (this Society) has contributed greatly to academic research on periodontal diseases, which is the mission of this Society, and to advancement of treatment of periodontal diseases in Japan. Recent studies show that development and progression of periodontal diseases both interfere with intraoral functions and affect general health conditions. Therefore, this Society considers that its role in society is of increasing importance in terms of promoting citizens' healthy lifespans and lifestyles. Moreover, the scholarly activities of this Society and its members demand not only the pursuit of truth but also social responsibility and strong ethical character. Thus, this Society sets forth its Policy on Conflict of Interest (hereinafter abbreviated to "this Policy") to enable appropriate execution of industry-academia collaboration activities by its members. The objective of this Policy is to fulfill this Society's obligations to the general public by contributing to progress in prevention, diagnosis, and treatment of diseases in the field of periodontology/periodontics. This is achieved by promotion of presentation of research results, as well as dissemination, awareness-raising and related activities, while maintaining neutrality and fairness, through this Society's appropriate management of COIs involving its members and related persons.

## 2. Basic Philosophy of the Policy

This Policy gives the basic considerations on COIs for members and related persons, and requires this Society's members and related persons to disclose their COI status to this Society in an appropriate manner via self-declaration when participating in any project and presentation, and otherwise to adhere to this Policy. Based on this Policy, this Society will act in accordance with the following basic guidelines to secure its social responsibility as a scholarly society.

- (1) Contribute to society by creating intellectual property through academic research on periodontal diseases and passing on the results to society. To achieve this, it will promote scholarly activities through industry-academia collaborations.
- (2) Maintain a system for appropriately managing COIs that could arise incidentally in the course of industry-academia collaborations.
- (3) Ensure transparency of scholarly activities through appropriate management of COI information and earn the trust of society by fulfilling obligations to explain these matters to the general public.
- (4) Avoid COI management constraining the scholarly activities of Society members in their

industry-academia collaborations, but rather respect their autonomy to the maximum extent. At the same time, use COI management to ensure that this Society fulfills its social responsibility and maintains an environment in which members can engage in scholarly activities with peace of mind.

### 3. Persons Subject to this Policy

This Policy applies to the following persons for which COI situations could arise.

- (1) Members of this Society
- (2) All presenters at this Society's scientific meetings or similar events (including members and non-members)
- (3) All authors who publish manuscripts in the journal of this Society (including members and non-members)
- (4) This Society's officers (President, Directors, and Auditors); persons in charge of scientific meetings (meeting chairpersons, etc.); committee chairpersons and members, as defined in bylaw clause 5; provisional working committee (subcommittee, working group, etc.); and authors and reviewers of diagnosis and treatment guidelines and other materials published by this Society
- (5) This Society's administrative staff members
- (6) Spouses and first-degree family members of persons listed in (1) through (5), as well as persons with whom expenses are shared

### 4. Activities Subject to this Policy

This Policy applies to all projects and activities conducted by this Society.

- (1) Scientific meetings, lecture meetings, etc,
- (2) This Society's Journals, academic books, and similar publications
- (3) Performance of research/education and surveys
- (4) Encouraging research/education and promotion of research results
- (5) Credentialing of specialists/board certified periodontologists/board certified hygienists, and accreditation of certified educational facilities
- (6) Promotion of lifelong-learning activities
- (7) Meetings and cooperation with related scholarly societies
- (8) Promotion of international research cooperation
- (9) Other projects necessary for achieving the objectives of this Society

In particular, the following Society activities demand especially careful adherence to the Policy:

- ① Presentations at scientific meetings and similar events held by this Society

- ② Announcements in academic journals and other printed publications
- ③ Development of diagnosis and treatment guidelines, manuals, and similar documents
- ④ Work in provisionally formed committees: in particular, investigative committees, advisory committees, and other similar committees
- ⑤ Presentations at lecture meetings, seminars, luncheon seminars, and evening seminars hosted or co-hosted by companies or commercial institutions
- ⑥ All social activities
- ⑦ All educational activities

Members of this Society are required to comply with the COI Policy, even if social and educational activities are not related to projects and activities conducted by this Society.

#### 5. Matters to be Declared

If a person subject to this Policy exceeds the standards provided in the Detailed Rules for any of the following items (1) through (9) in connection with businesses, corporate organizations, or for-profit groups (hereinafter, “business, organization, or group”) associated with dental research, that person shall make a declaration of the precise circumstances to this Society’s Chairman of the Board of Directors using the designated forms of this Society.

- (1) Assumption of the position of officer, advisor, consultant, employee, etc. at a business, organization, or group subject to this Policy (including concurrent/part-time status)
- (2) Holding of stocks or bonds in a business subject to this Policy
- (3) Royalties from patents or other sources from a business, organization, or group subject to this Policy
- (4) Per diem compensation (lecture fees, gifts, etc.) from a business, organization, or group subject to this Policy for time and labor for attendance (presentation) at a meeting
- (5) Manuscript fees paid by a business, organization, or group subject to this Policy for authoring of pamphlets, websites, or similar materials
- (6) Dental research fees (clinical trial fees, clinical research fees, contract research fees, joint research fees, scholarship donations, etc.) provided by a business, organization, or group subject to this Policy
- (7) Taking part or serving concurrently in an endowed lecture sponsored by a business, organization, or group subject to this Policy
- (8) Receipt of travel expenses or gifts other than those defined above, provided by a business, organization, or group subject to this Policy
- (9) Receiving human resources, equipment, and facilities from a business, organization, or group related to implementation of dental research

Note that specifics on the following items regarding declarations are provided separately in the Detailed Rules.

- ① Period for declarations
- ② Deadline and method for submission of the statement of declaration
- ③ Disclosure of the contents of a declaration and the method of disclosure
- ④ Handling, storage, and disposal of a submitted declaration statement

## 6. COI Management System and Implementation

### (1) Establishment of COI Committee

- ① A COI Committee is to be established as an organ of this Society.
- ② The chairperson of the COI Committee is appointed by the Chairman of the Board of Directors, and the members are appointed by the Chairman of the Board of Directors based on the recommendations of the committee chairperson.

### (2) Role of the COI Committee

If, during any project conducted by this Society, a major COI arises involving a member or a question is raised regarding the inappropriateness of a COI declaration, the COI Committee will conduct an investigation via a hearing or other means to evaluate the COI of the member, and will report the results of the investigation to the Chairman of the Board of Directors.

Furthermore, the committee will be responsible for the following matters:

- ① Response to questions and requests from members with COIs (including explanations, advice, and instructions)
- ② Management and enlightenment activity regarding the COI
- ③ Surveys, deliberations, judgment, management, proposed remedial measures, and recommendations regarding the COI

### (3) Establishment of Detailed Rules

This Society may separately establish Detailed Rules required for the operation of this Policy.

### (4) Obligations of Members

When presenting dental research results at scientific meetings or similar events, or publishing in Journals of this Society, members shall appropriately announce a COI associated with such research using the designated forms when giving presentations, submitting abstracts or submitting to Journals, in accordance with the Detailed Rules of this Society. If there is any indication that this Policy has been violated in connection with presentation of research, etc., the Board of Directors will request deliberation by the COI Committee authorized to handle

COI-related matters, and will take suitable measures based on the findings of the committee.

(5) Obligations of Officers, etc.

This Society's officers (President, Directors, and Auditors); persons responsible, such as the president of a scientific meeting, chairperson and member of each committee; and members of working committees have important roles and obligations regarding all projects and activities in which this Society is engaged. Therefore, such persons will make self-declarations concerning their COIs with regard to relevant projects upon starting their positions, in accordance with the designated forms of this Society. Furthermore, if new COIs arise after starting their positions, such persons shall make modified declarations in accordance with the Detailed Rules of this Society.

(6) Role of the Board of Directors

If a major COI arises with an officer, etc. described in (5) above in the execution of a project of this Society, or if it is deemed that a COI self-declaration is inappropriate, the Board of Directors may consult the COI Committee and suggest improvements based on the committee's findings.

(7) Role of persons responsible for scientific meetings

When the results of dental research are to be announced at a scientific meeting, the person responsible, such as the president of the meeting, should verify that such an announcement is in accord with this Policy, and may halt or take other measures regarding a presentation that violates this Policy. In such cases, such persons shall promptly inform the scheduled presenter of the measures taken, along with the reasons for these measures. In taking these measures, the person responsible may consult with the COI Committee and suggest improvements based on the committee's findings.

(8) Roles of the Society Journal Editorial Committee

When original papers on research results, reviews, editorials, opinion pieces, or other articles are to be presented in academic journals or other printed publications, the Society Journal Editorial Committee will verify that such a paper is in accord with this Policy, and may halt or take other measures regarding publication of a paper that violates this Policy. In such cases, the committee will promptly inform the author of the paper of the measures taken, along with the reasons for these measures. If it is discovered that a paper has violated this Policy after it has been published, this fact may be announced publicly under the editorial committee chairperson's name in the relevant printed publication. In taking these measures, the editorial committee

chairperson may consult with the COI Committee and suggest improvements based on the committee's findings.

#### (9) Others

The chairpersons and members of each committee and members of working committees in this Society should verify that the respective Society projects in which they are involved are implemented in accordance with this Policy, promptly explore improvements to address any violations of this Policy, and report to the Board of Directors. The Board of Directors may consult with the CIO Committee regarding the handling of these matters, and the Board of Directors may suggest improvements based on the committee's findings.

### 7. Matters to be Avoided

#### (1) Matters to be Avoided by All Persons Subject to this Policy

The announcement of dental research results and development of diagnosis and treatment guidelines are to be conducted based purely on academic grounds and judgment, and for public benefit. In creating the content of announcements of results of dental research, or diagnosis and treatment guidelines, manuals, etc. based on scientific grounds, members of this Society shall not be influenced by arbitrary intentions of individuals or businesses that fund such research, and shall not enter into contracts with funding providers that make such influence unavoidable. In particular, for dental research related to an industry-academia collaboration that involves a study in humans (including clinical trials and drug trials), researchers must avoid the following matters.

- ① Receipt of commission or a referral fee from subjects participating in clinical studies
- ② Receipt of rewards for collection of data for the study
- ③ Receipt of rewards for particular research results
- ④ Agreement to empower sponsors and companies to make decisions when presenting research results at academic meetings or in published manuscripts

#### (2) Matters to be Avoided by Persons Responsible for Dental Research Trials

Persons with general responsibility for, and discretion in, planning and implementing medical research (including clinical trials and drug trials) are to be selected from among researchers who are publicly assessed to have no major COIs (little association with the party commissioning the research) regarding the following items, and such persons are to maintain this status after their selection.

- ① Holding of stocks or bonds in the business commissioning the dental research
- ② Acquisition of patent royalties and rights, etc. for products or technologies derivable from the

results of dental research

- ③ Inauguration as an officer, director, advisor, or similar roles in businesses, organizations, or groups commissioning the dental research (scientific consulting without compensation is excluded)
- ④ Payment by sponsors and companies for travel expenses or accommodation for academic meetings not related to dental research
- ⑤ Receipt of money over the actual cost for such dental research
- ⑥ Receipt of money over the normal payment for time and effort spent in such dental research
- ⑦ Causing a disadvantage to subjects by payment for study participation. (To avoid this matter, it is desirable to prepare a written agreement indicating that subjects will not be recruited using a payment and to clarify that there are no differences in treatment benefits between subjects and non-participants)

Researchers with activities corresponding to any of items (1) - (7) above may still assume the position of the person responsible for a relevant dental research trial if such researchers are indispensable to the planning and execution of the research and the research has extreme dental significance, on the condition that fairness, impartiality, and transparency of judgments are clearly defined.

## 8. Measures for Policy Violators and Accountability

### (1) Measures for Policy Violators

This Society's Board of Directors has the authority to deliberate on actions that are in violation of this Policy. If a major Policy violation is deemed to have occurred as a result of deliberations within the Board of Directors, based on reports from the COI Committee, necessary measures may be taken according to the severity of the violation.

### (2) Statements of Disagreement

Persons against whom measures are taken may submit a statement of disagreement to this Society. This Society's Chairman of the Board of Directors will, upon receipt of this statement, promptly form a committee (provisional advisory committee) to deliberate on the statement of disagreement, entrust the matter to deliberation, confer on the findings within the Board of Directors, and inform the submitter of the result.

### (3) Information provided to related academic societies

When actions to be taken against a policy violator are finalized, such information shall be provided to the heads of related scholarly societies to which the member is likely to belong.

Note that operations regarding (1) - (3) above will be defined separately in the Detailed Rules.

(4) Accountability

If there is deemed to be a major violation of this Policy in connection with the results of dental research announced at a venue or in a publication in which this Society is involved, this Society must immediately fulfill its obligation to explain the matter to the general public after conferral of the Board of Directors.

9. Modification of the Policy

This Policy shall be periodically reviewed and revised in accord with societal factors, amendments or improvements to laws regarding industry-academia collaboration, and conditions surrounding medicine and research.

10. Effective Date

This Policy was enacted on October 18, 2014 and has been used tentatively since April 1, 2015.

This Policy will go into full effect from April 1, 2017.

Tentative use of the Detailed Rules started on April 1, 2015

Rules will be enforced from April 1, 2017