

Regulation Concerning Research Ethics of the Public University Corporation, the University of Aizu

(Established by the Chairperson of the Board of Executives on October 22, 2013)

(Regulation No. 1 April 1, 2018)

Article One

(Objective)

1.1 This regulation shall aim at securing the scientific justifiability and ethicality of research, by adequately and smoothly conducting examinations regarding experimentation and investigative research, etc. on human subjects which involve collection of information and data, etc. from individual human research subjects on their behavior, mind and body, and the environment surrounding them, etc. (hereinafter referred to as “EXPERIMENTATION AND INVESTIGATIVE RESEARCH, ETC. ON HUMAN SUBJECTS”) conducted at the Public University Corporation, the University of Aizu (hereinafter referred to as “UNIVERSITY”) based on the “Policy on Experimentation and Investigative Research etc. on Human Subjects Conducted at the Public University Corporation, the University of Aizu (established on October 22, 2013)” (hereinafter referred to as “POLICY”).

Article Two

(Establishment of the Committee)

2.1 Based on Article One above, the UNIVERSITY shall establish the “Public University Corporation, the University of Aizu Research Ethics Committee (hereinafter referred to as the “COMMITTEE”).”

Article Three

(Roles of the Committee)

3.1 The roles of the COMMITTEE shall be as follows.

- (1) Conducting reviews of the experimentation and investigative research, etc. on human subjects in order to achieve the aim set forth in Article One above
- (2) Matters regarding regulations, etc. concerning research ethics

Article Four

(Members)

4.1 The COMMITTEE shall be organized of the following individuals who also serve as constituents of the Public University Corporation, the University of Aizu Committee for Conflicts of Interest.

- (1) Regent in Charge of Financial Affairs
- (2) Director of the University-Business Innovation Center
- (3) Dean of the Undergraduate School of Computer Science and Engineering
- (4) Dean of the Graduate School of Computer Science and Engineering
- (5) Director General of the Junior College Division
- (6) Director General of the Department for Student Affairs
- (7) Director of the Research Center for Advanced Information Science and Technology (CAIST)

4.2 Other than those provided for under the items in the preceding paragraph, the Chairperson of the Board of Executives may appoint external learned individuals as COMMITTEE members.

Article Five

(Term of Office)

5.1 The term of office of the COMMITTEE members shall be two years. However, the term of office of those members selected to fill a vacancy shall be the remainder of the vacated term.

5.2 The COMMITTEE members can be reappointed.

Article Six

(COMMITTEE Chairperson)

6.1 The positions of Chairperson and Vice Chairperson shall be established within the COMMITTEE.

6.2 Regent in charge of financial affairs shall be appointed as Chairperson and Director of the University-Business Innovation Center as Vice Chairperson.

6.3 Should the Chairperson be unable to fulfill his/her duties, the Vice Chairperson shall fulfill these duties on behalf of the Chairperson.

Article Seven

(Deliberations)

7.1 The COMMITTEE Chairperson shall convoke meetings and serve as the chair thereof.

7.2 COMMITTEE meetings can be held if more than half of the constituent members are present.

7.3 Matters requiring a COMMITTEE's approval shall be decided by more than half of those members in attendance. When there are an equal number of members supporting approval or disapproval of an issue, the Chairperson of the meeting shall render the decision.

7.4 The COMMITTEE Chairperson, Vice Chairperson and members shall not be allowed to participate in deliberations on matters concerning themselves.

7.5 The COMMITTEE Chairperson shall report deliberation results, etc. of meetings to the Chairperson of the Board of Executives.

Article Eight

(Hearing of Opinions)

8.1 The COMMITTEE, when it recognizes doing so as necessary, may require attendance of nonmember(s) to a meeting for explanations or opinions from them.

Article Nine

(Application)

9.1 Those who need to undergo examinations (hereinafter referred to as "APPLICANT") shall submit the predetermined form, "Application for a Research Ethics Examination (Form No.1)" to the Chairperson of the Board of Executives.

Article Ten

(Examinations)

10.1 Upon receipt of the application stated in the preceding Article, the Chairperson of the Board of Executives must promptly place the matter before the COMMITTEE.

10.2 The COMMITTEE shall examine and make judgment on the content of the form "Application for a Research Ethics Examination".

10.3 The types of judgment given to APPLICANT after examinations shall be as follows.

- (1) Approved
- (2) Approved with Conditions
- (3) Change Recommended
- (4) Disapproved
- (5) Not Applicable

10.4 The COMMITTEE Chairperson may conduct reviews and make judgments through documentary examination.

10.5 The COMMITTEE Chairperson, upon the completion of examinations, must promptly report examination results to the Chairperson of the Board of Executives.

10.6 The Chairperson of the Board of Executives, based on the report stated in the preceding paragraph, shall notify the APPLICANT of examination results using the predetermined form, "Notification of the Examination Results (Form No.2)."

Article Eleven

(Reexaminations)

11.1 The APPLICANT, when having an objection to his/her examination results, may request a re-examination through submission of the predetermined form, "Written Opposition (Form No.3)."

11.2 The Chairperson of the Board of Executives, upon acceptance of a Written Opposition stated in the preceding paragraph, shall place the case before the COMMITTEE again mutatis mutandis to the preceding article. The COMMITTEE shall reexamine the content of the Written Opposition and make a second judgment.

11.3 The COMMITTEE Chairperson, upon the completion of examinations, must promptly report reexamination results to the Chairperson of the Board of Executives.

11.4 The Chairperson of the Board of Executives, based on the report stated in the preceding paragraph, shall notify the APPLICANT of re-examination results using the predetermined form, "Notification of the Re-examination Results (Form No.4)."

Article Twelve

(Change of the Implementation Plan)

12.1 The APPLICANT, should a change, etc. (including discontinuation) occur to the details of the approved research, must promptly submit the predetermined form, "Application for Changing the Research Implementation Plan (Form No.5)" to the Chairperson of the Board of Executives.

12.2 The Chairperson of the Board of Executives, upon acceptance of the "Application for Changing the Research Implementation Plan" stated in the preceding paragraph, must promptly place the matter before the COMMITTEE.

12.3 The COMMITTEE shall examine the change to the content of said research mutatis mutandis to Article Eleven.

Article Thirteen

(Verification of Research)

13.1 After the completion of research activities, the COMMITTEE shall request the APPLICANT to give a report of his/her research results and verify the research in question.

13.2 The COMMITTEE may request the APPLICANT to give a report on his/her research while it is in progress, and may investigate the research. If there are items which need to be improved in the said research, the COMMITTEE must give instructions or advice.

Article Fourteen

(Information Disclosure, etc.)

14.1 The COMMITTEE shall assume the accountability to third parties concerning reports and examination results, etc. based on the provisions stated in Articles Nine through Thirteen.

Article Fifteen

(Secretariat)

15.1 Clerical work concerning the COMMITTEE shall be performed by the Planning and Collaboration Division.

Article Sixteen

(Miscellaneous Provisions)

16.1 Other than those provided by this regulation, necessary matters concerning the operation of this regulation shall be determined by the Chairperson of the Board of Executives separately.

ADDITIONAL PROVISIONS

1. This regulation shall be enforced as of October 22, 2013.
2. Notwithstanding the provisions provided for in Paragraph 6.1, Article Six herein, the term of office of the members initially selected following the reinforcement of this regulation shall be until March 31, 2015.

ADDITIONAL PROVISIONS

This regulation shall be enforced as of April 1, 2018.