

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

October 22, 2013

The Public University Corporation, the University of Aizu Regulation No. 3

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

(Research Ethics Committee)

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

Article Three

(Responsibilities)

3.1 Duties of the COMMITTEE shall be as follows.

- (1) Examinations of the scientific justifiability and ethicality, etc. of implementation plans, etc. of research
- (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 of the Research Center for Advanced Information Science and Technology
- (6) Director General of the Department for Student Affairs
- (7) Director General of the Junior College Division

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 COMMITTEE.

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 scientific justifiability and ethicality of the research implementation plan in question. However, this does not apply to the cases provided in Article Fourteen.

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

10.5 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
(Re-examinations)

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 re-examine the case mutatis mutandis to the preceding Article.

11.3 The COMMITTEE Chairperson, upon the completion of examinations, must promptly report re-examination 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 change, etc. (including discontinuation) occur to the approved research implementation plan, must promptly submit the predetermined form, "Application for Changing the Research Implementation Plan (Form No.5)" to the COMMITTEE.

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 of the said research implementation plan mutatis mutandis to Article Eleven.

Article Thirteen

(Examination of Special Cases)

13.1 The Chairperson of the Board of Executives may, without the COMMITTEE's examinations, make judgment, in consultation with the COMMITTEE Chairperson, in cases for which examination results are easily assumable. However, the COMMITTEE Chairperson must report the results to the COMMITTEE right after the decision has been made.

Article Fourteen

(Verification of Research)

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

14.2 The COMMITTEE may request the APPLICANT to give a report of 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 Fifteen

(Information Disclosure, etc.)

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

Article Sixteen

(Secretariat)

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

Article Seventeen

(Miscellaneous Provisions)

17.1 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.

Form No.1 (Related to Article 9)

Application for a Research Ethics Examination

Submitted on MM/DD/YYYY

To: The Chairperson of the Board of Executives

Applicant

Affiliation

Title/Name

Seal

I hereby apply for an ethics examination of the research implementation plan on the following research theme.

Description

Research Theme				
Research Period	From MM/DD/YYYY to MM/DD/YYYY		New/Continued	
Research Representative	Affiliation		Title/Name	
Research Members	Affiliation		Title/Name	

Research Implementation Plan

1. Outline of Research ※	(1) Objectives
	(2) Targets
	(3) Implementation Plan

※ Attach reference materials as needed.

2. Implementation Site	
3. Ethical Consideration ※	<p>(1) Forethought regarding human rights of research subjects (protection of privacy, etc.)</p> <hr/> <p>(2) How to gain understanding and consent from human research subjects, etc. (Circle where applicable) Written / Oral explanations will be given to human subjects, and the written consent with their signature will be stored / the survey slips with their signature will be stored.</p> <hr/> <p>(3) Measures for the cases where human research subjects are 1) under age, 2) are of age but do not have good judgment, or 3) require consideration for disease names, etc.</p> <hr/> <p>(4) Consideration for possible dangers and discomfort to human research subjects</p>
4. Other	

※ Attach reference materials as needed.

Form No. 2 (Related to Article 10)

Notification of the Examination Results

Date: MM/DD/YYYY

To:

The Chairperson of the Board of Executives

Research Theme:

This is to notify of the results of the examination of the implementation plan on the above research theme, conducted by the Public University Corporation, the University of Aizu Research Ethics Committee at its meeting held on MM/DD/YYYY.

Description

Decision	(1) Approved (2) Approved with Conditions (3) Change Recommended (4) Disapproved (5) Not Applicable
Conditions, or content and reasons of change recommended	

Form No. 3 (Related to Article 11)

Written Opposition

Submitted on MM/DD/YYYY

To: The Chairperson of the Board of Executives

Applicant

Affiliation

Title/Name

Seal

Research Theme :

As I have an objection to the results of the examination conducted by the Public University Corporation, the University of Aizu Ethics Committee dated MM/DD/YYYY, I hereby request a re-examination.

Description

(Reasons for the Opposition)※

※ Attach reference materials as needed.

Form No. 4 (Related to Article 11)

Notification of the Re-examination Results

Date: MM/DD/YYYY

To:

The Chairperson of the Board of Executives

Research Theme :

This is to notify of the results of the re-examination by the Public University Corporation, the University of Aizu Research Ethics Committee concerning the research implementation plan on the above research theme, for which you have lodged an opposition against the previous examination results.

Description

Decision	
Reasons, etc.	

Form No. 5 (Related to Article 12)

Application for Changing the Research Implementation Plan

Submitted on MM/DD/YYYY

To: The Chairperson of the Board of Executives

Applicant

Affiliation

Title/Name

Seal

I wish to make a change in the research implementation plan on the following research theme, and hereby apply for an ethics examination.

Description

Research Theme	
Details and Reason of Change	

※ Attach reference materials as needed.