

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)

(Latest Revision: April 1, 2026)

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, environment, 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 the “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).

Article Two

(Establishment of the Committee)

2.1 In accordance with the objective set forth in 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 EXPERIMENTATION AND INVESTIGATIVE RESEARCH, ETC.

ON HUMAN SUBJECTS in order to achieve the objective set forth in Article One above

(2) Handling 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 UNIVERSITY 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 experts as COMMITTEE members (hereinafter referred to as "MEMBERS").

## Article Five

### (Term of Office)

5.1 The term of office of MEMBERS shall be two years. However, the term of office for persons listed in Article Four, Paragraph 1, Items 1 through 7 shall be the term of their positions. Furthermore, the term of office of those MEMBERS selected to fill a vacancy shall be the remainder of the vacated term.

5.2 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 The Regent in Charge of Financial Affairs shall be appointed as Chairperson of the COMMITTEE (hereinafter referred to as "CHAIRPERSON") and the Director of the University-Business Innovation Center shall be appointed as Vice Chairperson of the COMMITTEE (hereinafter referred to as "VICE CHAIRPERSON").

6.3 Should the CHAIRPERSON be unable to fulfill their duties, the VICE CHAIRPERSON shall fulfill these duties on behalf of the CHAIRPERSON.

#### Article Seven

##### (Deliberations)

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

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

7.3 Matters requiring the COMMITTEE's vote shall be approved by the majority of the MEMBERS in attendance, and in the event of a tie vote, the Chair of the meeting shall render the decision.

7.4 The CHAIRPERSON, VICE CHAIRPERSON, and MEMBERS shall not be allowed to participate in deliberations on matters concerning themselves.

7.5 The 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 to have them provide explanations or opinions.

#### Article Nine

##### (Applications for Examination)

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 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 CHAIRPERSON may conduct reviews and make judgments through documentary examination.

10.5 The 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 their 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, , applying the provisions of the preceding article mutatis mutandis. The COMMITTEE shall re-examine the content of the Written Opposition and make a second judgment.

11.3 The COMMITTEE Chairperson, upon the completion of the re-examination, must promptly report the 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 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, applying the provisions of Article Eleven mutatis mutandis.

#### Article Thirteen

##### (Verification of Research)

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

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

#### Article Fourteen

##### (Information Disclosure, etc.)

14.1 The COMMITTEE shall assume accountability to third parties concerning reports and examination results, etc. in accordance with the provisions of 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 for in by this regulation, necessary matters concerning the operation of this regulation shall be separately determined by the Chairperson of the Board of Executives.

ADDITIONAL PROVISIONS

1. This regulation shall be enforced as of October 22, 2013.
2. Notwithstanding the provisions provided for in Article Five , 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.

ADDITIONAL PROVISIONS

This regulation shall be enforced as of April 1, 2026.