

The Public University Corporation, the University of Aizu
Regulations on the Prevention of Research Misconduct

April 1, 2022, Regulation No. 1

CHAPTER ONE GENERAL PROVISIONS

(Objective)

- 1.1 The purpose of these regulations is to provide for the necessary matters for preventing research misconduct at the Public University Corporation, the University of Aizu (hereinafter, "UoA") and for impartially and properly dealing with cases where it has occurred or is likely to occur.

(Definitions)

- 2.1 Within these regulations, the definitions of the terminology listed in each of the following items shall be as defined therein.
- a. Employees: Individuals subject to the Office Regulations for Personnel of the Public University Corporation, the University of Aizu (Regulation No. 36, 2006) or the Office Regulations for Part-Time Personnel, Etc. of the Public University Corporation, the University of Aizu (Regulation No. 37, 2006)
 - b. Students: Individuals enrolled at the UoA School of Computer Science and Engineering, the UoA Graduate School of Computer Science and Engineering, or the Junior College Division as regular students, non-degree students, research students, or special audit students
 - c. Research: Any and all research conducted at the UoA (including the creation of theses in the course of studies)
 - d. Employees, Etc.: UoA executives, faculty, staff, students, and individuals who conduct Research
 - e. Research Funds: Any and all research funds under UoA's administration, including competitive research funds, etc. from the national government or from independent administrative corporations under the jurisdiction thereof
- 2.2 Within these regulations, Research Misconduct refers to the any of the following acts committed by UoA Employees, Etc. in the course of Research, whether intentionally or through significant neglect of the basic duty of care expected of a researcher. However, in the case that the data and experimental records were handled in line with standard practice of the relevant research field and that there was a disagreement about the way the data and experimental records were handled, the handling shall not be considered as the following acts.
- 1) Fabrication: To produce fictitious data, research results, etc.

- 2) Falsification: To produce inauthentic data, results of Research, etc. by altering research materials, devices, and/or processes
- 3) Plagiarism: To appropriate another researcher's ideas, analysis, analysis methods, data, research results, papers, or terms as one's own work without their consent or proper indication
- 4) Duplicate Submission: To produce two or more papers that are considered to have identical content and publish them in different journals, etc. (However, this shall not apply to papers that satisfy the submission rules of the journals to which they are submitted and are not considered to be duplicate submissions.)
- 5) Inappropriate Authorship: To list individuals who do not meet any of the following requirements as authors of a paper or other publication, or to fail to list individuals who meet all of the following requirements as authors of a paper or other work
 - a. The individual was involved in the Research concerned, making a substantial contribution to the planning of the Research and the execution of experiments, acquiring and analyzing experimental and observational data, making theoretical interpretation, building models, etc.
 - b. The individual was involved in the writing of the paper and preparing and discussing important parts of the paper.
 - c. The individual has approved the final version of the paper.
- 6) Self-Plagiarism: Any of the following acts shall be considered as self-plagiarism.
 - a. To reuse a part of one's own papers already published without clearly citing the preceding paper, in violation of the submission rules of the destination journal, etc.
 - b. To reuse a part of one's own paper under review by other journal, etc. in another paper or other publication without notifying the destination journal, etc. of the following paper to that effect, in violation of the submission rules of the destination journal, etc.
- 7) Other Misconduct: Other acts deemed to be an extreme deviation from research ethics in light of the code of conduct for scientists and social norms.

CHAPTER TWO SYSTEM FOR THE PREVENTION OF MISCONDUCT

(System for Assumption of Responsibilities)

3.1 In order to clarify where and how far responsibility lies concerning individuals involved in Research, the following posts shall be established within UoA.

- 1) Chief Executive Officer: This shall be the individual who assumes the ultimate responsibility for the prevention, etc. of misconduct at the UoA. The position shall be served by the Chairperson of the Board of Executives.
- 2) Chief Research Ethics Education Officer: These shall be the individuals who assume the practical authority and responsibility for the education of Employees, Etc. engaged in Research at the UoA regarding the ethical norms they are required to follow. The positions

shall be filled by the Regent in Charge of Education and Academic Affairs for the University of Aizu matters and the Regent in Charge of the Junior College Division for Junior College Division matters.

3.2 The Chief Executive Officer must exercise leadership in an appropriate manner and implement the following items so that the Chief Research Ethics Education Officers, Employees, Etc. can responsibly work on initiatives regarding the prevention of Research Misconduct.

- 1) To establish a Misconduct Prevention Plan in order to ascertain the causes of Research Misconduct at the UoA and take appropriate measures to prevent misconduct, such as conducting education of Employees, Etc. regarding concerning research ethics to.
- 2) To establish the administrative systems necessary to carry out the Misconduct Prevention Plan
- 3) To strive to ascertain the state of progress of the Misconduct Prevention Plan

3.3 The Chief Research Ethics Education Officer must periodically educate Employees, Etc. on research ethics in line with the Misconduct Prevention Plan described in Article 3, Paragraph 2, Item 1.

(Duties of Employees, Etc.)

4.1 Employees, Etc. must not engage in Research Misconduct.

4.2 Employees, Etc. must attend the research ethics training sessions conducted by the Chief Research Ethics Education Officer.

4.3 Employees, Etc. must appropriately retain and manage notes on experiments or observations, research data, programs, devices, and other research materials after the publication of the paper or other research results for a period that is reasonable considering the characteristics of the research field. (or for 10 years, in the event that a reasonable period cannot be determined) in order to secure a means of proving the integrity of Research and to ensure the possibility of verification by third parties. Further, when the necessity and appropriateness of disclosure of the aforementioned research materials is recognized, said materials must be disclosed.

4.4 Employees, Etc. must observe these regulations and instructions from the Chief Executive Officer and cooperate with investigations, etc. conducted by the Investigation Committee as stipulated in Article 14, Paragraph 1, and in Article 15, Paragraph 1.

CHAPTER THREE RECEIVING OF ALLEGATIONS

(Establishment of Contact Points for Receiving Allegations)

5.1 In order to appropriately administer allegations of or consultations concerning Research Misconduct (hereinafter, "Allegations"), contact point for Allegations (hereinafter, "Contact Point") shall be established within the Planning and Collaboration Division for the University of Aizu matters and within the Junior College Division Administrative Office for Junior College

Division matters.

(Allegations of Misconduct)

- 6.1 Anyone who has reason to suspect Research Misconduct shall be able to file Allegations in writing, through e-mail, telephone, or through in-person consultation after providing their name and contact information, specifying the researcher or research group alleged to have committed the Misconduct, the nature of the alleged misconduct, any associated papers or other publications, and the scientific and reasonable grounds that the alleged conduct is improper (hereinafter, "Alleged Matters"). However, individuals who make allegations (hereinafter, "Complainants") may request anonymity in any investigation that follows.
- 6.2 Allegations in writing or through email shall be made by submitting a document clearly describing the Alleged Matters (hereinafter, "Written Allegation") to the Contact Point. Allegations through telephone and/or in-person consultation shall be followed without delay by a submission of a Written Allegation describing the Alleged Matters to the Contact Point.
- 6.3 The Contact Point shall promptly confirm the submitted Written Allegation. If it is recognized that the Written Allegation includes all of the Alleged Matters, the Contact Point shall accept the Written Allegation and notify the Complainants to that effect.
- 6.4 If the Contact Point find via the confirmation specified in the previous paragraph that there are Alleged Matters that have not been specified, it may set an adequate period for the Complainants to correct their Written Allegation. After the Complainants corrects the Written Allegation, the Contact Point may accept it.
- 6.5 In the event that a Written Allegation is accepted, the Contact Point shall report that fact to the Chief Executive Officer.
- 6.6 The Contact Point may accept a Written Allegation submitted anonymously after confirming the opinions, etc. of the Chief Executive Officer in the event it is recognized that the Written Allegation specifies the Alleged Matters. In this case, the Complainants shall not be provided with the notifications and reports stipulated in these regulations. However, if the Complainants comes forward before the results of investigations come out, the Allegation shall be treated as it had been filed in the name of the Complainants.
- 6.7 In the event either the individual subject to an allegation (hereinafter, "Respondents") include individuals affiliated with organizations other than the UoA (hereinafter, "Other Organizations") or the content of an Allegation does not concern the UoA has been received, and the Chief Executive Officer recognizes it necessary that the case pertaining to said Allegation must be referred to the Other Organizations to which the Respondents is affiliated or to Other Organizations that should investigate the content of the Allegations, the case in question shall be referred to the Other Organizations in question by the Contact Point. However, in the case the content of Allegations does not concern the UoA, the UoA must notify the Complainants of the Other Organizations which the referral is made and other necessary items and receive the consent of the Complainants (except in the case of

Complainants who submitted Allegations anonymously).

(Handling of Cases Filed Outside Process of Allegations)

7.1 In the event that suspected Research Misconduct is pointed out by the press, academic associations, Other Organizations, etc., or it is confirmed that Alleged Matters have been published on the Internet, the provisions of Article 6, Paragraph 6 shall be applied mutatis mutandis.

7.2 The Contact Point shall, in the event it receives the following Allegations, report to the Chief Executive Officer.

- 1) Consultations made without an intent to file an allegation
- 2) Allegations regarding Research Misconduct that is about to occur

7.3 The Chief Executive Officer shall scrutinize the content of the Allegations described in Article 7, Paragraph 2, Item 1. Further, when it is confirmed that there is sufficient cause, the Chief Executive Officer shall confirm the Alleged Matters, and, after receiving the consent of the individuals who made the consultation in question, handle the consultation in the same manner as when an anonymous Written Allegation has been accepted. In the event of Article 7, Paragraph 2, Item 2, if it is recognized that there is sufficient cause, warnings shall be issued to the researchers subject to the Allegations.

CHAPTER FOUR TREATMENT OF INDIVIDUALS INVOLVED

(Obligation of Confidentiality)

8.1 All individuals who engage in the duties stipulated in these regulations must not divulge confidential information obtained in the course of these duties. The same shall apply even after they are no longer Employees, Etc.

8.2 The Chief Executive Officer must thoroughly protect confidential information regarding individuals subject to Allegations (hereinafter, "Respondents"), Complainants, the content of Allegations, and the nature and progress of investigations until the publication of the results of investigations, so as to not divulge this confidential information against the will of Respondents and Complainants.

8.3 In the event that the case pertaining to Allegations has been divulged to outside parties, Chief Executive Officer may make the investigation public even as it is ongoing with the consent of the Respondents and Complainants. However, this consent need not be required in the event the divulgence was due to reasons attributed to the Respondents and Complainants.

8.4 When contacting or sending notifications to Respondents, Complainants, investigation cooperators, and other involved individuals, the Chief Executive Officer and other involved individuals must make considerations so as to not harm the human rights, reputation, privacy,

etc. of the aforementioned, etc.

(Prohibition of Disadvantageous Treatment of Complainants)

- 9.1 All individuals affiliated with the UoA must not treat the Complainants and individuals who receive consultations (hereinafter, "Complainants, Etc.") disadvantageously on the grounds of their Allegations. regarding Research Misconduct to the Contact Point.
- 9.2 The UoA may discipline individuals who treat Complainants, Etc. disadvantageously without substantial reason in line with the Office Regulations for Personnel of the Public University Corporation, the University of Aizu and other relevant regulations.
- 9.3 The Chief Executive Officer must take appropriate measures to prevent the deterioration of the work environment or discriminatory treatment of Complainants, Etc. on the grounds of their Allegations.
- 9.4 The UoA shall not take disadvantageous measures against the Complainants, Etc. for the sole reason of Allegations. except when it is found that the Allegations were malicious.

(Prohibition of Disadvantageous Treatment of Respondents)

- 10.1 All individuals affiliated with the UoA must not treat Respondents disadvantageously solely on the grounds of Allegations. without substantial reason.
- 10.2 The UoA may discipline individuals who treat Respondents disadvantageously without substantial reason in line with the Office Regulations for Personnel of the Public University Corporation, the University of Aizu and other relevant regulations.
- 10.3 The Chief Executive Officer must take appropriate measures to prevent the deterioration of the work environment or discriminatory treatment of Respondents on the grounds that they have been subject to Allegations, etc.
- 10.4 The UoA must not take disadvantageous measures against Respondents solely on the grounds of Allegations. without substantial reasons.

(Malicious Allegations)

- 11.1 No one shall file Allegations maliciously. Within these regulations, Malicious Allegations refer to Allegations made entirely for the purpose of disadvantaging Respondents or the organizations, etc. with which the Respondents are affiliated with in order to incriminate the Respondents, interfere with the Respondents' research, etc.
- 11.2 The Chief Executive Officer may, in the event it is determined that an Allegations was made maliciously, make public the name of the Complainants in question, impose punishments in accordance with the Regulation Concerning Disciplinary Punishment of Personnel of the Public University Corporation, the University of Aizu and other relevant regulations, file a criminal complaint, and take other required measures.
- 11.3 The Chief Executive Officer shall, when the sanctions set forth in the preceding paragraph have been implemented, notify the Funding Agency (meaning the national government or an

independent administrative agency, etc. under the jurisdiction of the national government; the same shall apply hereinafter) and relevant government agencies of the nature of the sanctions.

CHAPTER FIVE INVESTIGATIONS OF FACTS

(Preliminary Investigations)

12.1 The Chief Executive Officer shall, upon receiving a Written Allegation in accordance with the Article 7, Paragraph 3, immediately conduct a preliminary investigation to look into the reasonability, investigability, etc. of the Allegations.

(Full Investigations)

13.1 The Chief Executive Officer may, if it is decided to conduct a full investigation based on results of the preliminary investigation stipulated in the preceding article, may establish an Investigation Committee of the Public University Corporation, the University of Aizu (hereinafter, "Investigation Committee") and direct it to conduct a full investigation.

13.2 The Chief Executive Officer shall, upon establishing an Investigation Committee in accordance with the provisions of the preceding paragraph, notify the Respondents and Complainants of the affiliations and names of the members of said Investigation Committee. In this event, the Respondents and Complainants who have received this notification may file an objection in writing within the next 10 days. In response to said objection, in the event that the Chief Executive Officer recognizes a legitimate reason, members of the Investigation Committee shall be replaced, and the Respondents and Complainants shall be notified of this fact.

13.3 The Chief Executive Officer shall, in the event it is decided a full investigation will not be conducted, immediately report that fact in writing to the Complainants.

13.4 The decisions in Articles 13, Paragraphs 1 and 3 must be made within 30 days of the receipt of a Written Allegation, in principle.

13.5 Matters necessary for the establishment and operation of the Investigation Committee shall be provided for separately.

(Full Investigations on the Authority of the Chief Executive Officer)

14.1 Regardless of the existence of Allegations, the Chief Executive Officer may, having recognized the need to conduct a full investigation of suspected Research Misconduct, direct the Investigation Committee to conduct a full investigation.

14.2 In that event, the researchers subject to said investigation shall be considered to have been the subject of an anonymous Allegations as provided in Article 7, Paragraph 6.

(Measures to be Implemented in the Event of Full Investigations)

15.1 In the event the Investigation Committee will be conducting a full investigation, the Chief

- Administrative Officer shall notify the Respondents, Complainants, the Funding Agency, etc., and relevant government agencies that a full investigation will be conducted. Further, if the Respondents is affiliated with Other Organizations, the Chief Executive Officer must notify the head of said organization. The results of full investigation shall also be handled in this manner.
- 15.2 Respondents, Allegations, and other involved individuals must cooperate with the Investigation Committee regarding its investigations, etc. through the hearing of facts, submission of relevant materials, etc.
- 15.3 Notwithstanding the provision of the preceding paragraph, the Investigation Committee may discontinue investigations, etc. in the event that Complainants do not cooperate with the investigation, etc. or have otherwise severely hindered the investigative procedures.
- 15.4 The provisions of the previous two paragraphs shall apply mutatis mutandis when conducting preliminary investigations as provided in Article 12.

(Implementation of Full Investigations)

- 16.1 The Investigation Committee shall initiate full investigations within 30 days from the date of the decision to implement a full investigation, in principle.
- 16.2 The Investigation Committee shall immediately notify the Complainants and Respondents that full investigations will be conducted and request them to cooperate with the investigations.
- 16.3 The Investigation Committee shall conduct full investigation through methods including the careful examination of the papers, laboratory/observatory notebooks, raw data, and other materials associated with the research identified in the Allegations as well as through hearings with involved individuals.
- 16.4 The Investigation Committee must provide the Respondents with an opportunity for a written or oral explanation.
- 16.5 The Investigation Committee may require the Respondents to show the reproducibility of research achievements through methods such as rerunning experiments, etc. Further, when Respondents offer to rerun experiments, etc., and the Investigation Committee regards the necessity thereof, the Respondents shall be guaranteed the period of time, opportunities, the use of devices, and anything else necessary to do so.

(Preservation of Evidence)

- Article 17.1 The Investigation Committee shall, when implementing full investigations, take measures to preserve research materials and relevant documents as evidence of Research associated with alleged cases(hereinafter “Alleged Research”).
- 17.2 In the event the research institute where the Alleged Research is not the UoA, the Investigation Committee shall request the organization in question to take measures to preserve research materials and relevant documents as evidence of the Alleged Research.
- 17.3 The Investigation Committee must not restrict the Research of Respondents with the exception when required by the measures stipulated in the previous two paragraphs.

(Interim Reports on Full Investigations)

18.1 Even before the completion of a full investigation, the Chief Executive Officer shall, in response requests from the Funding Agency of the Alleged Research and to relevant government agencies, submit interim reports on the full investigation.

(Protection of Research and Technical Information in Investigations)

19.1 The Investigation Committee shall pay sufficient attention when conducting full investigations in order to not divulge information which should be kept confidential for research or technical reasons, such as unpublished data and papers, outside the scope regarded necessary for the conduct of the investigations.

(Accountability for Suspected Research Misconduct)

20.1 If, during a full investigation conducted by the Investigation Committee, the Respondents wish to clear the suspicions regarding the Research related to the alleged case, the Respondents must explain on their own account that the Research in question were conducted using scientifically appropriate methods and procedures and that the papers and other publications were written using appropriate language based on these same methods and procedures, while showing the scientific basis for said explanation.

20.2 If, in the case referred to in the preceding paragraph, the rerunning of experiments, etc. is required, the Respondents must be given the guarantees stipulated in the Article 16, Paragraph 5.

CHAPTER SIX FINDING OF RESEARCH MISCONDUCT, ETC.)

(Findings Process)

21.1 The Investigation Committee shall, in principle, within 150 days from the date of commencement of full investigation, summarize the investigation and make findings whether there was Research Misconduct. In the event it is found that there was Research Misconduct, the Investigation Committee must also make findings regarding the level of maliciousness of the Research Misconduct, the individuals involved in the Research Misconduct and the degree of their involvement, the papers and other publications related to the research determined Research Misconduct, the roles of each author of said papers and other publications in the Research concerned, and other necessary matters.

21.2 Should there be reasonable grounds during the period described in the preceding paragraph that findings for these matters cannot be made within 150 days, these grounds and the estimated date that findings will be made shall be submitted to the Chief Executive Officer for their approval.

21.3 In the event that it is found that there was no Research Misconduct, and the Investigation Committee determines through its investigations that the Allegations was made in bad faith, shall make a finding to this effect.

21.4 In the event that the findings stipulated in the preceding paragraph is made by the Investigation Committee, it must provide the Complainants with an opportunity for a written or oral clarification.

21.5 The Investigation Committee must report to the Chief Executive Officer immediately after it has made the findings stipulated in Paragraphs 1 and 3.

(Method of Making Findings)

22.1 The Investigation Committee shall recognize whether there was Research Misconduct by making a comprehensive judgment based on explanations from the Complainants, the physical and scientific evidence, testimony, the admissions of the Respondents, and other evidence obtained through the investigation.

22.2 The Investigation Committee cannot make a finding of Research Misconduct with only the admissions of Respondents as evidence.

22.3 The Investigating Committee may make a finding of Research Misconduct when Respondents' explanations and other evidence do not overcome the suspicion of Research Misconduct. The same shall apply when the Respondents are unable to provide sufficient evidence to clear the suspicion of Research Misconduct due to the lack of basic elements that should exist, such as the absence of raw data, experiment/observation notebooks, experimental samples/reagents, and related documents, which fall within the scope of the mandatory retention period.

(Notification and Report of the Results of Investigations)

23.1 The Chief Executive Officer shall immediately notify the Respondents, Complainants, and any individuals other than the Respondents found to have been involved in Research Misconduct of the results of investigations (including its findings). In the event the Respondents are affiliated with Other Organizations, the Chief Executive Officer shall also notify the organizations of the results of the investigations.

23.2 In addition to the notifications stipulated in the previous paragraph, the Chief Executive Officer shall notify the Funding Agency and relevant government agencies of the results of investigations.

23.3 In the event it is recognized that a Malicious Allegations was made by Complainants affiliated with Other Organizations, the Chief Executive Officer shall notify the organizations in question.

(Filing of Appeals)

24.1 Respondents found to have engaged in Research Misconduct may file appeals to the

Investigation Committee within 14 days of the date of receiving the notification. However, Respondents cannot file multiple appeals for the same reason even within this period.

24.2 Complainants found to have made Malicious Allegations (including those found to have made Malicious Allegations in the course of deliberations of Allegations filed by Respondents) may file appeals in regards to the recognition following the example of the previous paragraph.

24.3 The review of appeals shall be conducted by the Investigation Committee. In the event that judgements requiring expertise are necessary, the Chief Executive Officer shall replace members of or add members to the Investigation Committee, or have a person or people other than the Investigation Committee review the appeals. However, this shall not apply if it is found that there are no substantial grounds for changing the composition of the Investigation Committee, etc.

24.4 The procedures for the appointment of these new committee members shall be stipulated as set forth in Article 13, Paragraph 5.

24.5 The Investigation Committee shall immediately report to the Chief Executive Officer in the event it decides that the appeal should be rejected without even conducting a new investigation. The Chief Executive Officer, having received this report, shall notify the appellant of this decision. In the event the Investigation Committee determines that the main purpose of the appeal was to draw out the process, postpone any action associated with the findings, or any other similar purpose, the committee shall notify the appellant that any further appeals will not be accepted.

24.6 The Investigation Committee shall immediately report the Chief Executive Officer in the event where it was decided to conduct a new reinvestigation in response to the appeal. The Chief Executive Officer, having received this report, shall notify the decision to the appellant.

24.7 The Chief Executive Officer shall send notification to the Complainants when the Respondents file an appeal. Further, the Chief Executive Officer shall send a notification to the Respondents when the Complainant file an appeal. Further, the Chief Executive Officer shall notify that effect of the Funding Agency pertaining to the case. The same shall apply when it is approved to reject an appeal or launch on reinvestigation.

(New Investigations)

25.1 In the event the decision is made to implement a new investigation in response to an appeal filed in accordance with the previous article, the Investigation Committee shall request the appellant to submit any material that the appellant believes is sufficient to overturn the results of earlier investigations and require the appellant to cooperate with the new investigation towards the timely resolution of the case.

25.2 In the event the Investigation Committee is unable to obtain the cooperation of the appellant stipulated in the preceding paragraph, it may terminate the appeal without a new investigation. In this event, the Investigation Committee shall immediately report this fact to the Chief Executive Officer. After receiving this report, the Chief Executive Officer shall notify the appellant of the decision.

25.3 The Investigation Committee shall decide whether the results of earlier investigations shall be overturned within 50 days of the day of launching a new investigation, and the results of said decision shall be immediately reported to the Chief Executive Officer. However, should there be reasonable reasons that this decision whether to overturn the results of investigations cannot be made within 50 days, the Investigation Committee shall provide the reasons and the expected date of the decision to the Chief Administrative Officer and obtain their approval.

25.4 The Chief Executive Officer shall promptly notify the Respondents, Complainants, and other individuals who have been found to have been involved in Research Misconduct of the results of the new investigation reported as stipulated in the previous two paragraphs. In the event that Respondents or individuals other than Respondents who have been found to have been involved in Research Misconduct are affiliated with Other Organizations, the Chief Executive Officer shall also notify those organizations. Further, the report shall also be made to the Funding Agency pertaining to the case and to relevant government agencies.

(Publication of the Results of Investigations)

26.1 The Chief Executive Officer shall, in the event it is found that there has been Research Misconduct, promptly make public the results of investigations.

26.2 The contents of the public announcement provided in the preceding paragraph shall include the names and affiliations of individuals involved in the Research Misconduct, the nature of the Research Misconduct, the measures taken the UoA as of the time of the announcement, the names and affiliations of the members of the Investigation Committee, and the methods, process, etc. of the investigation.

26.3 Notwithstanding the provision of the previous paragraph, it shall be possible to not make public the names and affiliations of individuals involved in the Research Misconduct in question if the papers and other publications found to be associated with Research Misconduct were withdrawn before the Allegations were filed.

26.4 In the event it is found the there was no Research Misconduct, it shall be possible to not make public the results of investigations. However, the results of the investigations shall be made public in the event it is recognized that the restoration of the reputation of the Respondents is required, the case of investigation has been divulged externally, or when there is an error in a paper or other publication that is not intentional or the result of a failure to exercise the basic duty of care of a researcher, the results of the investigation shall be made public.

26.5 The announcement provided in the exceptional clause in the preceding paragraph shall include the fact that there was no Research Misconduct, and that the errors in the papers and other publications were not intentional or due to a failure to exercise the basic duty of care of a researcher, the names and affiliations of the Respondents, the names and affiliations of the members of the Investigation Committee, and the method, processes, etc. of the investigation.

26.5 The Chief Executive Officer shall, in the event it is found that the Allegations were malicious, make the names and affiliations of the Complainants, the reasons for finding the Allegations as

malicious, the names and affiliations of the Investigation Committee members, and the method, procedure, etc. of the investigation public.

CHAPTER SEVEN SANCTIONS AND DISCIPLINARY MEASURES

(Temporary Sanctions During Full Investigations)

27.1 The Chief Executive Officer may take necessary sanctions against the Respondents including the temporary suspension of the use of Research Funds by the Respondents to the Allegations during the period between the decision to conduct a full investigation and the reporting of the results of the investigation.

27.2 In the event that Funding Agency or other relevant organizations order the suspension of the use of the Research Funds they have distributed to the Respondents, etc. the Chief Executive Officer shall take corresponding sanctions.

(Termination of the Use of Research Funds)

28.1 The Chief Executive Officer shall immediately order the individuals found to be involved in Research Misconduct, those found to be significantly responsible for the contents of papers and other publications associated with Research Misconduct, and those found responsible for use of part or all of the Research Funds in question (hereinafter, "Sanctioned Individuals") to cease the use of research funds.

(Recommendation of the Withdrawal, etc. of Papers and Other Publications)

29.1 The Chief Executive Officer shall recommend Sanctioned Individuals to withdraw, correct, or take other measures regarding papers and other publications associated with findings of Research Misconduct.

29.2 Sanctioned Individuals must, within 14 days from the date of receiving the recommendation set forth in the preceding paragraph, indicate their acceptance of the recommendation to the Chief Executive Officer.

29.3 In the event a Sanctioned Individuals does not follow the recommendation provided in the Paragraph 1, the Chief Executive Officer shall make this fact public.

(Lifting of Sanctions and Other Measures)

30.1 The Chief Executive Officer shall, in the event it has been found that there was no Research Misconduct, lift sanctions including the suspension of the use of research funds put in place due to the full investigation. Further, measures regarding the preservation of evidence shall be lifted promptly after either the appeal period expires without an appeal being filed or when the results of the review of the appeal are finalized.

30.2 The Chief Executive Officer shall take measures to restore the reputation of individuals found to have not engaged in Research Misconduct and measures to avoid such individuals being

disadvantaged.

(Disciplinary Measures)

31.1 The Chief Executive Officer shall discipline individuals found to have engaged in Research Misconduct as a result of the full investigation. The treatment of Sanctioned Individuals shall follow the Regulation Concerning Disciplinary Punishment of Personnel of the Public University Corporation, the University of Aizu and other related regulations.

31.2 The Chief Executive Officer shall, when disciplinary measures described in the preceding paragraph are taken, notify the Funding Agency of the nature and other details of said disciplinary measures.

31.3 The Chief Executive Officer may order Sanctioned Individuals to return all or part of research funds they have used.

(Corrective Measures, Etc.)

32.1 In the event it is found that there was Research Misconduct as a result of the full investigation, the Chief Executive Officer shall promptly implement corrective measures, measures to prevent recurrence, and other measures needed to create an environment that discourages Research Misconduct (hereinafter, "Corrective Measures") as necessary.

32.2 The Chief Executive Officer shall report the details of the Corrective Measures taken in line with the preceding paragraph to the Funding Agency and relevant government agencies.

CHAPTER EIGHT OTHER PROVISIONS

(General Affairs)

General affairs related to these regulations shall be handled by the Planning and Collaboration Division.

(Supplemental Provision)

34.1 Other than those provided for in these regulations, matters necessary for the prevention of impropriety in Research shall be determined separately by the Chief Executive Officer.

ADDITIONAL PROVISIONS

1. The Regulations shall be enforced as of April, 1, 2022.
2. The Regulations on the Prevention of Research Misconduct, the Public University Corporation, the University of Aizu (Regulation No. 1 March 31, 2015. Hereinafter, "Old Regulations") shall be abolished.
3. Regarding Allegations accepted, etc. in accordance with the Old Regulations that are still

under investigation, the application of Article 2, Paragraph 2 shall follow the Old Regulations.