

# Japan Geoscience Union Code of Ethics

Adopted by the Board of Directors on 24 March 2020

## (Purpose)

Article 1: These rules shall apply to the members of the Japan Geoscience Union (hereinafter referred to as the "Union") in dealing with misconduct that violates the Code of Conduct for Members of the Union (hereinafter referred to as the "Code of Conduct") and stipulate the establishment of a committee to promote compliance with the Code of Conduct, and the measures to be taken against misconduct.

## (Definitions, etc.)

Article 2: The term "misconduct" as used in these Rules shall mean any of the following acts

(1) Fabrication, falsification, or plagiarism in research, and acts of concealment or obstruction of proof thereof.

(2) Misuse of research funds, etc.

(3) Acts in violation of laws and regulations.

(4) Invasion of personal rights and harassment.

2 With regard to (1) and (2) of the preceding paragraph, these acts refer to those that are in serious violation of the Code of Conduct prescribed separately by the Union, are intentional, or are not in accordance with the basic principles that a researcher should observe.

## (Establishment of the Ethics Committee)

Article 3: The Union shall establish an Ethics Committee (hereinafter referred to as the "Committee") for the purpose of Article 1.

2 The Committee shall consist of three or more members appointed by the President, and the Chairperson of the Committee shall be elected from among the members.

3 The Chairperson of the Committee may request the attendance of relevant persons (including non-members) with the approval of the Board of Directors.

4 Other operations of the Committee shall be in accordance with the Basic Rules for the Administration of the Corporation.

## (Subcommittee for Investigation)

Article 4: The Committee shall immediately establish a Subcommittee for Investigation (hereinafter referred to as the "Subcommittee") when requested under Article 9.

2 The Chairperson of the Subcommittee may, with the approval of the Committee, request the attendance of relevant persons (including non-members).

3 The chairperson of the subcommittee and members of the subcommittee may attend meetings of the Committee at the request of the chairperson.

4 The Subcommittee will consider the measures to be taken based on the factual investigation of the member's misconduct and report to the Committee.

5 The term of office of the Subcommittee shall end when the report described in the preceding paragraph is completed.

## (Confidentiality)

Article 5: The Board of Directors, committee members, subcommittee members, attendees of committee meetings as stipulated in Article 3, Paragraph 3, and members of the

subcommittee as stipulated in Article 4, Paragraph 3 shall not divulge any secrets that have become known through investigations and hearings under these Rules.

(Filing of Petitions of Misconduct)

Article 6: Any person who believes that there is a suspicion of misconduct on the part of a member may file a report in writing, by facsimile, telephone, e-mail, or in person with the contact point established in accordance with Article 17.

- 2 In the case of filing a petition in writing or by facsimile, the petition shall be filed in the form prescribed in the attached document. In the case of an petition filed other than in writing or by facsimile, a petition of the same form shall be submitted.

(Acceptance of Petition)

Article 7: The person in charge of the contact point shall report to the President and the Chairperson of the Committee when a petition is filed in accordance with the preceding Article.

- 2 In cases where the petition is filed by a method that the petitioner himself/herself cannot know whether or not the petition has been accepted, such as when the petition is filed by mail, etc., the person in charge of the contact point shall notify the petitioner of the acceptance of the petition without delay.
- 3 If an anonymous petition is filed, the person in charge of the contact point shall consult with the chairperson of the committee regarding the contents of the anonymous petition, and may accept the petition in the same manner as when a petition is filed in accordance with the preceding Article. However, if the petitioner is identified before the results of the investigation are obtained, the notice set forth in the preceding paragraph shall be given.
- 4 The Committee may accept a petition in the same manner as when a suspicion of ㊦ misconduct is pointed out in the press or on the Internet with confirmation of the name of the member who is alleged to have committed the misconduct and the details of the wrongdoing as specified in Article 6, paragraph 1, and if it is necessary for the purpose. In such cases, the provisions of the main clause of the preceding paragraph shall apply mutatis mutandis.

(Preliminary Investigation)

Article 8: Upon acceptance of a petition under the preceding Article, the Committee shall promptly conduct a preliminary investigation.

- 2 In the event that the Committee conducts a preliminary investigation, it shall report the results to the Board of Directors and submit an outline of the results to the petitioner and the respondent.

(Existence of misconduct in the report of the preliminary investigation)

Article 9: If the Board of Directors believes that misconduct exists based on the report of the preliminary investigation as described in the previous article, the Board directs the Committee to establish the Subcommittee.

2. If the Board of Directors believes that no misconduct exists, the Board shall notify the petitioner and the respondent of the results.

(Investigation)

Article 10: The Subcommittee may conduct investigations on the following matters

- (1) Hearing from the persons concerned
  - (2) Examination of relevant materials, experimental samples, etc.
  - (3) Other matters reasonably necessary for the investigation.
- 2 Relevant Members shall cooperate in good faith with the Subcommittee in its investigations, if the Subcommittee requests submission of materials, the applicant shall comply with the request.
- 3 The Subcommittee shall promptly conduct an investigation and report the results to the Committee.

(Hearing and Ruling)

Article 11: The Committee shall, based on the report in the preceding paragraph, conduct a hearing and make a ruling on the existence and extent of the misconduct, and report the results to the Board of Directors.

- 2 In making its ruling, the Committee shall give the subject member an opportunity to explain in writing or orally.
- 3 If the existence of misconduct is confirmed, the Committee shall propose the following measures to the Board of Directors. However, this shall not apply in cases where there is no need to do so, such as when the degree of misconduct is minor.
  - (1) Expulsion in accordance with Article 13 of the Statutes of the Union
  - (2) Dismissal of executive officials in accordance with Article 20 of the Statutes of the Union
  - (3) Dismissal of Section Presidents and Delegates
  - (4) Suspension of membership
  - (5) Revocation of awards retroactively
  - (6) Prohibition of participation in and presentation at Union meetings, and prohibition of submissions to the journal PEPS
  - (7) Other measures necessary to eliminate misconduct.

(Measures taken by the Board of Directors, etc.)

Article 12: The Board of Directors shall take the necessary procedures as prescribed in the Statutes of the Union based on the proposal in the preceding paragraph. However, with regard to Item 3 of Paragraph 3 of the preceding Article, this may be done by a vote of two-thirds or more of the current number of Directors.

- 2 The outline of the ruling and the measures taken shall be made public in principle, except for parts where there are reasonable grounds for non-disclosure, such as protection of personal information or intellectual property. If the subject member has an opinion on the matter to be published, that opinion shall also be published in writing.
3. The Board of Directors shall take sufficient measures to restore the honor of the subject member when it is confirmed that no misconduct has occurred.
- 4 Even in cases where the subject member loses membership before the measures in each item of paragraph 3 of the preceding Article are taken, the Union may, by resolution of the Board of Directors, publicize the outline of the case to the extent necessary.

(Loss of Rights due to Suspension of Membership)

Article 13: A member whose membership has been suspended shall forfeit the right to exercise the rights of a member of the Union, as well as the right to participate in and present at JpGU meetings.

(Period of suspension of membership)

Article 14: The Board of Directors shall determine the period of suspension when taking measures based on Paragraph 1 of the preceding Article.

2 The suspension shall expire immediately upon indictment or declaration of innocence (not required to be confirmed), even before the expiration of the period. In the event of conviction, the Board may take any other action necessary in addition to suspension, and the suspension shall continue until such action is completed.

(Appeal)

Article 15: The respondent may file an objection to the decision in writing to the President with reasons.

2 The objection shall be filed within fifteen (15) days of notification.

(Reexamination)

Article 16: In the event of an objection, the President may order the Committee to reopen the investigation.

2 The Committee shall establish a subcommittee and order it to deliberate.

3 The respondent may express his/her opinion at the Subcommittee.

4 The Subcommittee will deliberate on the respondent's objection and report to the Committee on whether or not a disposition is necessary and the type of disposition. The Committee shall report the recommendation to the President.

5 The President makes a final decision based on the recommendation with the approval of the Board of Directors and promptly notifies the petitioner and the respondent.

(Protection of petitioner and investigation collaborators)

Article 17: Due consideration will be given to petitioners and collaborators in investigations of misconduct so that they will not be disadvantaged because of their petition or provision of information.

(Liaison and consultation with relevant organizations)

Article 18: The Committee and the Subcommittee may liaise with external organizations as necessary such as for information exchange,.

(Raising awareness)

Article 19: The Committee shall conduct awareness-raising activities, including ethics education for members, in order to promote compliance with the Code of Conduct.

(Establishment of Contact Point)

Article 20: The Committee shall establish a contact point to respond to allegations of misconduct, provision of information, and consultations and inquiries related to this Code.

2 The person in charge of the contact point shall be the Secretary General.

(Revision and Repeal Procedures)

Article 21: The amendment or abolition of this Code must be approved by the Board of Directors.

Supplementary Provision

1. These regulations shall come into effect on 10 April 2020.

All rules, procedures, dates and times etc. governing the Award are formally announced in Japanese. English translations are provided as a courtesy and are for reference only. Should any English language material differ from the original Japanese the Japanese version shall be binding.