

Rules of Conduct of the Japan Geoscience Union

March 24, 2020 (English translation prepared March 4, 2025)

Established by the Board of Directors

Purpose

Article 1.

The Rules given below apply to all members of the Japan Geoscience Union (hereinafter referred to as "JpGU") with the purpose of establishing an Ethics Committee with the purpose of encouraging all JpGU members to abide by these Rules and to establish the actions that will be taken in the event of any infringement or suspected infringement of these Rules.

Definitions

Article 2.

In these Rules the expression misconduct refers to the following types of behavior.

- (1) Plagiarism and falsification of data and attempting to conceal such behavior or act to prevent such behavior being established
- (2) Misuse of research funds
- (3) Illegal actions
- (4) Harassment and behavior that constitutes personal attacks

2. The issues mentioned in (1) and (2) refer to the actions incompatible with the separately defined 'JpGU Code of Conduct' and representing deliberate or negligent actions that represent a major departure from the behavior expected from a responsible researcher.

Members of the Ethics Committee

Article 3.

The Ethics Committee shall be a permanent body established with the purpose of the goals stated in 1 above.

- 2) The members of the Ethics Committee shall be the President, the Vice-Presidents, and the legal Counsel. Additional members can be added as deemed appropriate by the Committee. The chair of the Committee will be decided by majority vote of the Committee members.
- 3) The addition of any person or persons, who may include non-JpGU members, to the Committee is possible after verification at the JpGU Directors' meeting.
- 4) The Committee shall conduct its affairs in accordance with the JpGU management rules.

Investigative Sub-Committee

Article 4.

If the Ethics Committee is convened as a result of an allegation described in Section 9 below, an Investigative Sub-Committee (hereinafter Subcommittee) shall be convened without delay.

- 2) It is the role of the Chair of the Subcommittee to request people with relevant experience and knowledge, who may include non-JpGU members, to join the Subcommittee. Finalization of the members of the Subcommittee requires the approval of the Ethics Committee.
- 3) The Ethics Committee Chair has the authority to request the Chair and other members of the Subcommittee to attend Ethics Committee meetings.
- 4) The purpose of the Subcommittee is to investigate possible misconduct by JpGU members, establish the relevant facts and propose relevant action. The Subcommittee reports its findings and makes its recommendations to the Ethics Committee.

- 5) The role of the Subcommittee is complete when the findings and recommendations of 4) above have been reported to the Ethics Committee and at this point the Subcommittee will be dissolved.

Duty of Confidentiality

Article 5.

All persons involved in the procedures outlined in these Rules including JpGU Directors, all members and attendees of the Committee and Subcommittee including those defined in Article 3, 3) and Article 4, 2)要確認. above undertake not to pass on any information related to the procedures, or gathered during a related investigation to any other person.

Reporting Suspected Misconduct

Article 6.

Should anyone have reason to suspect misconduct by a member of JpGU, they should use the contact details given in 17. below to make a report to the compliance desk. Such reports should include the reporter's full name.

- 2) If the report is written (FAX or letter) this report should be submitted using the form that has been prepared. If reports are made using other formats, it is still required that the standard form should be submitted.

Acceptance of Reports of Misconduct

Article 7.

When a report of misconduct is submitted to the compliance desk, the person responsible will inform the JpGU President and the Chair of the Committee.

- 2) If the report of misconduct has been made in a way it is not possible for the person who has made the report to know whether or not the report has been safely received, the person responsible for the compliance desk shall promptly inform the complainant that the report has been received.
- 3) In the case of an anonymous report of misconduct, the person responsible for the compliance desk shall discuss with the Chair of the Ethics Committee and if deemed appropriate the anonymous report can be accepted and processed in the same way as reports with the accompanying name of the complainant. If the name of the complainant becomes clear during the investigation, then the person responsible for the compliance desk shall contact this complainant and inform them that the report has been accepted for investigation.
- 4) If the possibility of misconduct by a JpGU member becomes known through media reports or reports published online, and the name of the JpGU member and the nature of the misconduct is clear then an investigation can be started in the same way as described above.

Initial Investigation

Article 8.

Once a report of possible misconduct is received, the Ethics Committee must start an initial investigation as soon as reasonably possible.

- 2) Once an initial investigation has been carried out the Ethics Committee must report the results to the JpGU Directors' meeting and the complainant.

Report of Initial Investigation and Identification of Misconduct

Article 9.

On the basis of the initial report, the JpGU Directors' meeting will decide if there are sufficient grounds to request a Subcommittee to be convened.

- 2) If the JpGU Directors' Meeting decides there are not sufficient grounds to suspect malpractice then the result will be communicated to both the complainant and the person about whom the complaint has been made (defendant).

Investigation

Article 10.

In the course of its investigation the Subcommittee can carry out the following activities.

- (2) Collecting statements from the relevant parties.
 - (3) Study relevant documents including experiment notes.
 - (4) Other activities which can be considered reasonably necessary for the successful completion of the investigation.
- 2) JpGU members who are one of the relevant parties are expected to co-operate with the investigation and if requested by the Subcommittee the relevant parties are obliged to supply relevant documents in their possession
 - 3) The Subcommittee shall carry out its investigation in a timely manner and when complete the results shall be reported promptly to the Ethics Committee.

Hearing and Judgement

Article 11.

On the basis of the report from the Subcommittee, the Ethics Committee shall hold a hearing to consider if misconduct has taken place and if so the degree of this misconduct and report this to the JpGU Directors' Meeting.

2) Before any judgement is passed on a JpGU member, that member must be given the right to explain the situation either in writing or verbally.

3) In the case that the Ethics Committee has established there has been misconduct the Committee can propose one or more of the following sanctions as appropriate to the degree of misconduct and other circumstances.

(1) Expulsion from JpGU in accordance with section 13 of the Statutes(定款)

(2) Dismissal from senior management position in accordance with section 20 of the Statutes.

(3) Dismissal as Section President or representatives (代議員)

(4) Suspension of membership

(5) Removal of past awards

(6) Banning from attending and presenting work at the annual JpGU meeting and disallowing submission to the journal PEPS.

(7) Other actions which are deemed necessary and appropriate to prevent further misconduct.

Actions taken in the Directors' Meeting

Article 12.

Based on the recommendations following the procedure above, the JpGU Directors' meeting will take the necessary steps to implement the decision based on the Statutes. However, in the case of 3) (3) in the above article the decision requires the agreement of at least 2/3 of the Directors. 要確認

2) A summary of the judgement and disciplinary action undertaken shall be made public, with the exceptions of where reasonable concerns exist related to issues such as protection of personal information or guarding intellectual property etc.

- 3) Should the Directors' meeting decide that no misconduct has occurred then appropriate action must be taken to restore any reputational damage suffered by the member about whom the complaint has been made.
- 4) If the JpGU member about whom the complaint has been made loses their membership prior to undertaking any disciplinary action (as listed in Article 11. 3) above), the Directors' Meeting can still decide to make public a summary of the relevant information.

Loss of rights associated with suspension of membership

Article 13.

Any JpGU member whose membership has been suspended shall forfeit all rights associated with that membership including attending and giving presentations at any meeting organized by JpGU.

Period of suspension of JpGU membership

Article 14.

The Board shall specify the period of suspension, if any, in accordance with paragraph 1 of the preceding Article. **Article 11 4)?要確認**

- 2) If the suspension of membership occurs related to a criminal case of misconduct, this suspension shall be revoked in the case of a not guilty verdict or if it is decided not to proceed with prosecution of the case (the same applies even if appeals are pending). The revocation will be immediate and not wait for the end of any period of suspension previously determined. In the case of a guilty verdict the Directors' meeting can decide on further disciplinary action above and beyond the suspension of the membership.

The period of suspension shall continue until such time as the necessary procedures are completed.

Appeals

Article 15

The defendant may appeal against the decision in writing to the President, giving reasons.

2) Any appeal shall be filed 15 days after notification.

Secondary Hearings

Article 16.

In the event of an appeal, the Chair of the Ethics Committee may call for the Committee to reassess the merits of the complaint.

2) The Ethics Committee shall convene a Subcommittee which shall undertake a new investigation.

3) The defendant has the right to make a statement to the Subcommittee regarding the complaint.

4) The Subcommittee shall take into consideration the statement of the defendant and consider whether or not any disciplinary action should be taken and if so, the type that is appropriate. These recommendations shall be reported to the Ethics Committee and the Committee shall report the findings to the President.

- 5) The President shall make the final decision, which is subject to approval of the Directors' Meeting, and shall promptly notify both the complainant and defendant.

Protection of complainants and those cooperating with investigations

Article 17.

The complainant and the persons cooperating in the investigation shall be protected sufficiently to ensure that they are not disadvantaged because of the allegation or the provision of information.

Liaison and consultation with relevant bodies

Article 18.

The Ethics Committee and the Sub-Committee may, if necessary, hold liaison and discussions with external organizations to exchange information, etc.

Awareness-raising activities

Article 19.

The Ethics Committee shall conduct awareness-raising activities, including ethics education for members, to promote compliance with the rules described here.

Establishment of contact points

Article 20.

The Committee shall set up a contact point at the Secretariat to deal with complaints and information on misconduct, as well as consultations and inquiries relating to these Rules.

2 The contact point (complaints desk) shall be headed by the Secretary General.

Procedure for amendment and repeal of Rules

Article 21

The Board of Directors must approve any amendment or abolition of these rules.

Supplementary provisions

1 These regulations shall come into force from 10 April 2020.

2. English Language version prepared 4 March 2025. The Japanese version is the original and in cases of dispute this Japanese version shall take precedence.