

## Ethical Provisions of Journals of Japan Society on Water Environment

Enacted on 16 March, 2017

(Purposes)

Article 1 These provisions aim to clarify the duties of authors, editorial committees, and reviewers, as well as stipulate procedures to fairly respond to reports of alleged misconduct, to prevent misconduct regarding papers published in journals issued by Japan Society on Water Environment (Journal of Japan Society on Water Environment and Journal of Water and Environment Technology), and to ensure the academic and social integrity of the journals.

(Definitions of terminology, applicable actions, and interested parties)

Article 2 These provisions shall be applicable to the following types of misconduct described in the respective items:

- (1) Fabrication (creation of non-existent data, research results, and similar matters);
- (2) Falsification (manipulation of research materials, devices, and processes to alter the data, results obtained from research activities, and similar matters, to different items that are not true);
- (3) Plagiarism (appropriation of other researchers' ideas, analytical and analytic methods, data, research results, papers, or terminology, without the researchers' consent or appropriate attribution);
- (4) Double submission (submission to multiple journals and submission to multiple categories in a journal in the case where the paper is deemed on review to have the same or similar contents);
- (5) Inappropriate authorship (inclusion in a paper's author list of a person(s) who did not substantially contribute to the paper's establishment, or conversely exclusion from a paper's author list a person who substantially contributed to the paper's establishment, or similar actions).

2 These provisions shall apply to the following persons as interested parties:

- (1) Authors;
- (2) Persons reporting alleged misconduct;
- (3) Those deemed to have close relations with the authors or the persons reporting the alleged misconduct.

(Authors' duties)

Article 3 Authors that submit their manuscripts to the journals shall comply with regulations stipulated by the Japan Society on Water Environment. The data in the manuscripts shall be correct and orderly, and shall be presented along with reproducible methods to allow verification by third parties. The contents described in the manuscripts shall be free from any misconduct as stipulated in Article 2. Moreover, if the main investigation as stipulated in article 8 is to be carried out regarding any misconduct, the authors shall be obliged to cooperate with the investigative committees.

(Duties of the editorial committees and reviewers)

Article 4 The editorial committees shall take responsibility for deciding whether submitted paper manuscripts deserve publication in the journals. The editorial committees have the right to reject any paper manuscript that fails to meet legal requirements, or that includes research-related misconduct. Moreover, regarding the above mentioned decisions, the editorial committees may ask opinions from the respective journals' departments and reviewers. The editorial committees, as well as the respective journals' departments and editorial staffers, shall not disclose, without a special valid reason, any information associated with paper manuscripts to anyone other than the authors, reviewers (including those who are approached as to their willingness to be reviewers), and responsible people of the editorial and printing companies.

2 If the reviewers, as well as those who are approached as to their willingness to be reviewers, feel that they are unable to review properly, objectively, and fairly, they shall decline the tasks of reviewing, and they shall not disclose the contents of the paper manuscripts and shall treat them as confidential.

(Reporting of misconduct)

Article 5 Reports of alleged misconduct regarding a paper published in one of the journals shall be directed to the authors' affiliated organization or the agency allocating the research funding concerning the paper. The alleged misconduct may be reported to the Japan Society on Water Environment only if the author is an individual researcher with no affiliated organization, and the paper does not specify the agency allocating the research funding, or when it is possible to decide that the listed agency allocating the research funding cannot investigate the alleged misconduct.

2 When reporting alleged misconduct to the Japan Society on Water Environment, the person shall disclose his or her real full name, shall provide an expressly written document describing the alleged misconduct, and shall explain the scientific rationale

why the action is deemed to constitute misconduct.

3 The secretariat of the Japan Society on Water Environment shall inform the president of the alleged misconduct reported in accordance with the procedures stipulated in the preceding paragraph. The acceptance date of the report of alleged misconduct shall be the date on which the president is informed of the report.

4 As a general rule, the authors shall not be permitted to correct or withdraw the paper while an investigative committee is being established to examine the alleged misconduct.

(Investigative committee)

Article 6 After the president is informed based on paragraph 3, article 5, the president shall promptly establish the investigative committee as a special committee, as stipulated in article 9 of the detailed provisions. The investigative committee shall consist of three or more committee members who are not interested parties. As a general rule, the investigative committee shall include one or more editorial committee member and one or more expert in the research field related to the paper in question. The chairperson of the investigative committee shall be designated by the president.

2 To avoid disadvantage to the authors and the person reporting the alleged misconduct, the report to the Board of Directors, as stipulated in paragraph 2, article 9, of the detailed provisions shall not as a general rule include the committee organization and activity contents, and shall include only the facts of establishing and abolishing the committee, except when the misconduct has been acknowledged in the main investigation.

3 The investigation shall be stopped if it becomes clear after establishment of the investigative committee that another alleged misconduct, similar to that already reported, has been investigated by the authors' affiliated organization or the agency allocating the research funding.

4 The president shall dissolve the investigative committee when any of the following items is applicable:

- (1) If the president has decided that the main investigation is unnecessary in accordance with paragraph 5, article 7;
- (2) When the president has received a report from the main investigation as stipulated in paragraph 4, article 8;
- (3) If it becomes clear that another investigation has been conducted by another organization or agency as stipulated in the preceding paragraph.

(Preliminary investigation)

Article 7 After its establishment, the investigative committee shall promptly launch its preliminary investigation. The purpose of the preliminary investigation shall be to decide whether it is necessary to carry out the main investigation. As the preliminary investigation, the investigative committee shall confirm the contents of the alleged misconduct that was reported, and shall determine whether the case corresponds to any of the types of misconduct described in paragraph 1, article 2, and whether there is enough evidence to conclude that the misconduct occurred.

2 When conducting the investigation as stipulated in the preceding paragraph, the investigative committee may interview the person reporting the alleged misconduct if necessary.

3 The preliminary investigation shall be completed within approximately 30 days following the acceptance date of the report of the alleged misconduct.

4 After the preliminary investigation is finished, the investigative committee shall provide a written document to the president accompanied by the reason why carrying out the main investigation is necessary or unnecessary.

5 Based on the results of the preliminary investigation, the president shall decide whether the main investigation is necessary or unnecessary. If the president decides that the main investigation is necessary, the president shall request the investigative committee to carry out the main investigation. If the president decides that the main investigation is unnecessary, the president shall inform the person reporting the alleged misconduct regarding the decision.

(Main investigation)

Article 8 The investigative committee shall carry out the main investigation based on the instruction from the president as stipulated in paragraph 5, article 7. The main investigation shall aim to examine the evidence regarding the alleged misconduct that was reported, and to acknowledge whether the misconduct occurred or not, while ensuring an opportunity for the authors to provide an explanation.

2 The main investigation may be conducted using written documents and interviews with the person reporting the alleged misconduct, the authors, and other interested parties. Submitting materials to confirm facts may be requested as needed. The investigative committee shall keep the records of the investigation process.

3 The main investigation shall be completed approximately 60 days following the instruction from the president. However, this is not applicable if there is a reason to confirm the occurrence or non-occurrence of the misconduct by way of retesting or

similar methods.

4 The investigative committee shall provide a written document to the president accompanied by the evidence and the reason for acknowledging the occurrence or non-occurrence of the alleged misconduct.

(Responses)

Article 9 Upon receiving the report as stipulated in paragraph 4, article 8, and if the investigative committee acknowledges the occurrence of the alleged misconduct, the president shall report the results of the main investigation to the Board of Directors. If the investigative committee acknowledges the non-occurrence of the alleged misconduct, the president shall report only the facts of establishing and dissolution of the investigative committee as stipulated in paragraph 2, article 6.

2 If the investigative committee acknowledges the occurrence of the alleged misconduct, or the authors' affiliated organization or the agency allocating the research funding regarding the paper acknowledges the occurrence of the alleged misconduct regarding the paper published in any of the journals of the Japan Society on Water Environment, the Board of Directors may decide on any of the following disposition measures and the president shall inform the authors without delay.

- (1) Canceling publication of this paper;
- (2) Stopping the authors from submitting their manuscripts to the journals for a specified period;
- (3) Canceling the acceptance of the authors' paper (that was accepted and unpublished at the time of the report to the Board of Directors);
- (4) Canceling the reception of the authors' paper (that was in the review process at the time of the report to the Board of Directors);
- (5) Stopping the authors' research presentations at annual conferences, symposiums, and similar occasions for a specified period.

3 In addition to the preceding paragraph, the Board of Directors may submit a motion, based on articles 11 and 19 stipulated in the articles of incorporation, to the general assembly if any of the authors is a member or a director of Japan Society on Water Environment.

4 After reporting to the Board of Directors, the president shall inform the person reporting the misconduct regarding the response of the Japan Society on Water Environment.

(Revision or abolition)

Article 10 Revising or abolishing these provisions shall be conducted after obtaining approval from the Board of Directors.

(Related internal provisions)

Article 11 The President shall separately stipulate necessary matters regarding the execution of these provisions.

Supplementary provisions

1 These provisions shall come into effect on 16 March, 2017.

2 With regard to these provisions, if the president is an interested party, another person who is not an interested party shall be assigned to act as the president to perform the tasks regarding the case in question, and all of the descriptions concerning the president shall be read as descriptions for the other person acting as the president. The priority of assuming the role of the person acting as the president shall be in the order of vice presidents, executive directors, and directors (except for the director in charge of editorials). If there are two or more people with the same position, the older person shall be given priority.

3 The written document(s) in these provisions may include documents sent by email and fax.

4 The interview methods as stipulated in paragraph 2, article 8, shall include interviews over the Internet (such as via Skype).

5 As a general rule, the specified period regarding the disposition measures in paragraph 2, article 9, shall be within 1 year. Moreover, the starting and ending dates of the disposition measures shall be expressly described in the notification to the authors.

6 The governing language of these provisions shall be Japanese.