

AGU Ethics – Roles and Process for Investigation of Misconduct Allegations

- Complaints of misconduct that are not directly connected to AGU programs should be reported first to the home institution or workplace where the misconduct took place. AGU does not have the means to investigate activities not directly connected to its programs.
- Complaints must include the following information:
 - the name and affiliation of the person(s) submitting the allegation and the name and identifying information of the person(s) alleged to have committed the misconduct;
 - a description of the allegation that includes the date and circumstances of the alleged misconduct;
 - any documents or other relevant items with annotation showing specifically how the item relates to the allegation;
 - an explanation of how the allegation relates to misconduct as defined in the AGU Policy; and
 - a statement explaining any conflict(s) of interest the person making the allegation has with the subject(s), entity(ies), or situation(s) named in the allegation. A conflict of interest does not preclude the filing of an allegation.
- Anonymous complaints are not accepted or acted on by AGU – there has to be verification of complainant identity to allow for proper review and follow-up of any allegation.
- A third-party complaint must identify the target of the alleged misconduct, if applicable, and the target should be willing to cooperate as part of the ethics investigation. To the extent reasonably possible, AGU will protect the identity of the parties involved in an ethics complaint. However, certain disclosures may be necessary in order to conduct an adequate investigation and to the extent required by law.
- A senior AGU staff member responsible for ethics initially reviews complaints to determine whether the alleged misconduct is covered by the Ethics Policy and whether the complaint contains all of the information that is required under the Ethics Policy.
- The Ethics Committee Chair reviews completed complaints to determine whether an investigating ethics committee should be appointed to conduct a full ethics investigation.
- The investigating Ethics Committee conducts an investigation and provides findings and recommendations to the AGU Board of Directors. The Board of Directors has the final authority to determine what action(s) will be taken based on the findings of the Ethics Committee.

- An opportunity to appeal the Board's decision is part of the process, but must be based on new evidence or reconsideration of evidence and include a narrative justification for the appeal.
- The investigating Ethics Committee has up to 90 days to complete its investigation (and may request an extension of time from, if needed), so a typical timeline for handling a complaint may take several months, including time for AGU Board of Directors involvement in the review and appeals process.
- Sanctions, when issued by the Board of Directors, may or may not be made public. The Complainant and the Respondent are notified of the Board's decision.
- The names of the Ethics Committee members are made known to the Complainant and the Respondent as part of the ethics process, but the names are not publicly disclosed.