Governing Board: Code of Conduct

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for the GB

Overview

1. Our Approach

2. Three Main Components

   a. The Code Itself

   b. What Happens in the Event of Violations of the Code of Conduct?

   c. "Preventative" Care and Leadership Mentoring

3. Further Discussion

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1. Our Approach

- We recognize that a Code of Conduct (CoC) with a well-defined set of practices and principles for professional conduct plays an important role in the promotion of an respectful, inclusive, and equitable research environment.
- To construct this document we have drawn from a number of references including the :
    - AAS Code of Ethics
    - American Geophysical Union (AGU) Scientific Integrity and Professional Ethics
    - Sloan Digital Sky Survey (SDSS) Code of Conduct
    - LSST Dark Energy Science Collaboration (DESC) Code of Conduct
- We would like to get your feedback today (and in the coming weeks) as we prepare a version to be circulated to the collaboration.

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2a) The Code itself

- Draft Code of Conduct "Preamble" at:
  - https://docs.google.com/document/d/1E3URk7E46xwGDfPQsRQCSsS4_qOsTIV3ihUAj7sj3dU/edit?usp=sharing
- Goal was to write a 1-2 page document that summarized:
  - Key Principles that guide the code of conduct, and
  - Core Responsibilities for a CMB-S4 collaboration member.
- Inspired by text and format from the AGU and AAS Code of Conduct

Principles

The CMB-S4 collaboration Code of Conduct is guided by the importance of the following:
- Professional courtesy, equity, and fairness in working with others
- Excellence, integrity, and honesty in all aspects of research
- Safe, supportive work environments free from discrimination, bullying, and harassment
- Personal accountability in the conduct of research and the dissemination of the results
- Freedom to responsibly pursue science without interference or coercion
- Unselfish cooperation in research

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2a) The Code itself

Responsibilities

Integrity: Members will act with honesty in the interest of the advancement of science and treat others with courtesy, equity, and fairness.

Adherence to Law and Regulations: Members will adhere to laws and regulations related to the professional conduct of research; to this code of conduct; and to written CMB-S4 policies, including those for publications, elections and membership.

Environment: CMB-S4 members are responsible for creating and upholding a safe, open, and professional environment for learning, conducting, and communicating science with integrity, respect, fairness, and transparency at all organizational levels and in all scientific endeavors.

Scientific responsibility: Members are responsible for the integrity of their contributions to all publications, funding applications, reports, and other representations of their research. When reviewing the work of CMB-S4 colleagues (e.g., in working group telecons, internal project reviews or publication reviews), they will provide fair, impartial, and rigorous evaluations.
Members will accept constructive criticism and be responsive to review.

Responsibility to the future. More senior CMB-S4 members will strive to help advance the careers of more junior members where possible, including by ensuring fair access to information, data, leadership roles, and opportunities to give external talks.

Misconduct: CMB-S4 members will not engage in discrimination, harassment, bullying, dishonesty, fraud, misrepresentation, coercive manipulation, censorship, or other misconduct that alters the content, veracity, or meaning of research findings or that may affect the planning, conduct, reporting, or application of science. This applies to all professional, research, and learning environments.

Reporting Irresponsible Research Practices and Misconduct: Members should report suspected misconduct. Reporting procedures are specified later in the Code of Conduct.

2a) The Code itself

- Draft Code of Conduct "Preamble" at:
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- Goal was to write a 1-2 page document that summarized:
  - Key Principles that guided the code of conduct, and
  - Core Responsibilities for a CMB-S4 collaboration member.

- Text needs to tied into larger code of conduct, that will additionally give definitions of terms, examples of behavior, and processes for addressing violations, etc.
- Comments and suggestions?
  - Anything missing or should be added?
  - Text suggestions?
  - Email comments to gb@cmb-s4.org or add comments directly to google doc

2b) In the Event of CoC Violations

- We know that CoC violations will occur. While most violations will be small and/or inadvertent and can be handled without official action we must have a formal structure in place to investigate and resolve more serious violations.

- This structure will be internal to the collaboration. Any collaboration investigations will proceed in parallel/ not supplant any processes required by e.g., the institution where the violation occurred.

- Given the CMB-S4 collaboration organizational structure the Governing Board would be an appropriate body to carry out investigations and determine resolutions to potential CoC violations.
    - The GB is elected and constructed to ensure representation for the collaboration as a whole
    - The Bylaws already empower the GB to resolve serious violations. E.g., the GB can (1) remove any Collaboration Member from an elected or appointed leadership role in the event of major failings of professional conduct, or gross insufficiency of performance and (2) remove members from the collaboration.

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2b) Proposed Process

1. Concerns about violations of the CoC or other inappropriate behavior may be reported to the Spokespersons (SP) & GB Chair [or to the Ombudspersons].

2. These reports will be kept confidential unless (1) the reportee wishes to file a formal complaint or (2) the reported behavior involves activity that violates the rule of where the alleged misconduct occurred. In the latter circumstance the officers of CMB-S4 collaboration will work with appropriate authorities as required to resolve the allegation.

3. In cases of a formal complaint SP & GB Chair will conduct a preliminary investigation to determine if the complaint warrants a full investigation.
   ○ In situations where a full investigation is deemed unnecessary, the SP & GB chair are still required to report the complaint to the full GB who can overturn this decision.

** Throughout this process no one with a direct or perceived conflict of interest will be involved in the investigation. If a SP is conflicted a member of the ET will take their place, if the GB chair is conflicted, the deputy chair will fill in, etc.

2b) Proposed Process cont.

4. If an investigation is warranted, the GB chair and deputy chair will appoint a committee of no fewer than 3 members of the GB to further investigate the complaint*. This committee will hear both sides of the complaint and, if appropriate, consult witnesses and/or outside experts.

5. The committee will present their findings to the full GB. By majority vote the board may choose to dismiss the allegation or implement sanctions that may include (but are not limited to) requirements of appropriate corrective actions or training, prohibition from certain collaboration actions for a period of time, and, by supermajority vote (Bylaws S3.1), removal of the accused party from collaboration leadership positions or expulsion from the collaboration.

* We may need to empower the SP to take immediate action while an investigation is being pursued.

2b) CoC Investigation Process

Questions for the collaboration

- Is this process fair?
- Do you see barriers for reporting potential violations?
- Potential scenarios you would like to talk through?
- Other comments/suggestions?

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2c) "Preventative" Care

- We would like to provide resources for collaboration members who wish to further educate themselves.
    - Cultural Norms

- Additionally, we might consider offering training for WG convenors/officers of the collaboration to help them foster the collaborative and inclusive research environment we want to foster.
    - "Leadership" training
    - Bystander Intervention Training

Questions for the collaboration

- Would you find this helpful?
- Do you have resources that you would suggest?

General Discussion

Please feel free to email the Governing Board (gb@cmb-s4.org) or Lindsey Bleem and Brad Benson with suggestions after today's session.

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Some Resources We Found Useful

AAS: https://aas.org/policies/ethics

AGU:
https://www.agu.org/-/media/Files/Learn-About-AGU/AGU_Scientific_Integrity_and_Professional_Ethics_Policy_document.pdf

LSST-DESC:
https://lsstdesc.org/assets/pdf/policies/LSST_DESC_Professional_Conduct.pdf

NAS Sexual Harassment of Women: Climate, Culture, and Consequences in Academic Sciences, Engineering, and Medicine
https://www.nap.edu/catalog/24994/sexual-harassment-of-women-climate-culture-and-consequences-in-academic

SDSS: https://www.sdss.org/collaboration/the-sloan-digital-sky-survey-code-of-conduct/

Team Up Report: https://www.aip.org/diversity-initiatives/team-up-task-force