SBND Collaboration Code of Conduct

Initially drafted by the SBND Code of Conduct committee:
Vincent Basque, Ana Machado, Vishvas Pandey, Elizabeth Worcester

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1 Introduction and Scope

The SBND collaboration strives to foster a professional, supportive and inclusive environment that enables productive scientific collaboration. This Code of Conduct (CoC) document is intended to set expectations for the SBND collaboration members for professional scientific and ethical standards. This Code of Conduct aligns with and furthers Fermilab's commitment to fostering a safe, diverse, equitable, and inclusive work environment that values mutual respect and personal and scientific integrity. This document is not intended to replace or supersede home institutions' policies, other institutional or professional societies codes of conduct, regulations, and any applicable laws, to which collaboration members are subject to. While this document is focused on SBND's principles and accountability procedures, behavior may be reported to the appropriate organizations at Fermilab, at a collaborator's home institution, or law enforcement, as appropriate.

This document is applicable to all SBND members in all interactions and activities related to the collaboration and covers all forms of business and communication, be they digital or in person, in any context. The collaboration members are expected to adhere to the core values and principles outlined in this document and strive to maintain an environment that is welcoming to all

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members and free from any form of discrimination or harassment while representing the SBND collaboration.

2   Core Values and Principles

The SBND Core Value and Principles are described below, along with specific guidance as to how to uphold these principles. Many of these principles call for proactive behavior; they are intended to encourage collaborators to create the best and most inclusive collaboration culture possible. Specific actions that are not consistent with these values and are explicitly forbidden are itemized in Section 3.

- Respect and support collaboration and community members and communicate in ways that make sure all voices can be heard:

  - Acknowledge the privilege and power you hold in different spaces and use it to empower and amplify voices that may be excluded.

  - Work to ensure that all collaborators have equal access to opportunities, including leadership positions and networking that happens in a social context.

  - Reject all forms of discrimination, stereotyping, bullying, racism, sexism, discrimination, or harassment towards any individual or group.

- Commit to constructive dialog and take initiative to improve the collaborative environment:

  - Ensure that any criticism or disagreement is constructive, delivered in a respectful way, and aims to create positive discussion. Similarly, receive respectful, constructive criticism without taking personal offense and seek to hear and learn from differing viewpoints. Be receptive to discussions of ways to improve communication and working relationships.

  - Challenge your own assumptions about people and the sources of those assumptions. Take it upon yourself to educate yourself on and eliminate challenges or barriers to success that colleagues may face as members of under-represented groups or based on career status.

  - Recognize that intent does not equate to impact. If a colleague tells you that your words or actions have negative impacts which you did not intend, take responsibility for the impact. Educate yourself on why your words or actions had unintended consequences. Do not expect the impacted colleague to shoulder the burden of explaining it to you.

  - Develop structures to help maintain anti-racist and anti-discriminatory accountability. Actively work to better our collaboration. Creating

an open and inclusive community is not simply a matter of not engaging in bad behaviors, rather it is a process of actively engaging and welcoming all members to create a more inclusive and just community.

– Intervene when others are exhibiting conduct unbecoming of a collaboration member and support those who report violations. Everyone is encouraged to invoke the Code of Conduct in the moment that a violation is occurring if they feel safe doing so. If you feel that you have been negatively impacted by the actions of a collaboration member or in the course of performing collaboration work, see section 4.2 for details on reporting a Code of Conduct violation. Retaliation for invoking the CoC or reporting violations is expressly forbidden (see section 3).

- Commit to inclusive practices in collaboration activities and organization:

    – Be aware of diversity along multiple axes, including gender and sexual orientation, race and ethnicity, disability, career stage and professional affiliation, and geographical region, when assigning leadership positions, forming committees or working groups, or assigning speaking opportunities.

    – Consider keeping records that allow evaluation of diversity within the collaboration; eg: demographics information for leadership opportunities, speaking opportunities, etc.

    – Be aware of subconscious bias in choosing collaboration members for leadership roles and for other collaboration activities.

    – Be aware of words and phrases that can subtly limit participation when making calls for volunteers or collaborator contributions.

    – Explicitly and actively encourage participation from groups that are underrepresented in collaboration leadership or activities.

- Commit to ethical professional and interpersonal behavior in relationships with collaborators:

    – Appropriately credit collaborators for their contributions.

    – Be aware of increased responsibility for the professional and personal well-being of others when taking on formal or informal leadership or mentoring roles. Use your authority responsibly.

    – Be respectful of individual boundaries. Recognize that people will be comfortable with varying levels of discourse about non-work matters and adjust your behavior based on these differences. Be receptive to individuals stating and enforcing their personal boundaries.

- Commit to ethical practices for conducting scientific research within a collaboration and reporting scientific results:

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- Conduct research with the highest standards of scientific integrity, responsibility, and accountability.
- Appropriately credit collaborators' ideas, processes, results, and words. Take responsibility for carefully attributing all work to its originator.
- Every effort should be made to record and maintain research results (e.g. data, findings, software) in a form that allows subsequent analysis and review.
- Follow appropriate collaboration review policies on obtaining approval before public dissemination of research results or sharing of SBND data, software, or other internal information. Make results openly available for collaboration review.

3   Forbidden Conduct

SBND members are expected to conduct themselves in a manner consistent with the core values and principles. In particular, the following behaviors do not have a place in the collaboration; engaging in any of these will have consequences, as described in Section 4.3.

- Comments or actions based on stereotypes, group generalizations, or any form of racism, sexism, or discrimination

- Bullying or harassment, regardless of motivation

- Abuse of authority

- Unwelcome physical contact or sexual advances, threats of violence, any form of assault

- Dissemination of collaboration data, software, or results without following collaboration review procedures

- Scientific misconduct, including falsification of data or results, plagiary, misrepresentation, or failure to appropriately credit the work of others

- Professional or personal retaliation for invoking the CoC, reporting CoC violations, or enforcing the CoC

4   Enforcement of Code of Conduct

All SBND collaborators are expected to abide by this Code of Conduct. Collaborators are encouraged to invoke the SBND Code of Conduct themselves as needed in interactions with collaborators. They may also choose to report violations of SBND's Code of Conduct to the SBND Code of Conduct Committee. Procedures for selecting this committee, reporting issues to this committee, and ensuring accountability are described in this section.

Our commitment to a healthy collaborative culture requires that we recognize that violations of our standards of collaborative behavior may occur and that we are ready to respond to protect and support our collaborators should they be impacted by misconduct. All collaborators are encouraged and are responsible to express concerns on the violation of this CoC without the fear of retaliation. Retaliation toward a member who expresses concern or toward anyone assisting either in the reporting or investigation of a claim, is a severe violation of this Code of Conduct.

Other resources outside SBND, including those at collaborators' home institutions and the "Fermilab Concerns Reporting System"[1], are available. Collaborators are encouraged to make use of any and all systems available to them as needed. This section is focused solely on the accountability process within SBND, with the exception that the SBND process may include reporting behaviors to outside organizations as appropriate.

4.1 Code of Conduct Committee

The Code of Conduct Committee (CoCC) will consist of four members of the collaboration, elected by the collaboration. CoCC members will each serve for two years, with terms staggered such that half of the committee membership is elected each year. A maximum of two consecutive terms (4 years) may be served. The CoCC election will be held once a year [Note: date TBD]. In the event that a CoCC member steps down before the end of their term, the empty position will be filled at the next annual election. Existing CoCC members who are not up for re-election will manage the logistics of the election process. Nominations and self-nominations will be solicited from the collaboration. The CoCC will ensure that the slate of nominees presented to the collaboration contains at least four people (two of whom will be elected), that all nominees are willing to serve if elected, and that the slate of nominees is as diverse as possible, including opportunity for early career members to serve. The CoCC committee will provide an opportunity for the collaboration to provide feedback on the nominees, to minimize the chance that someone untrustworthy is elected; the CoCC must use their judgement to determine if any negative feedback about a candidate is sufficient to be disqualifying. Once the slate of nominees is vetted and finalized, the collaboration will vote, via ranked-choice voting, to select two members of the CoCC. The CoCC will choose one of their members to serve as chair. The spokespeople will be ex officio members of the CoCC. CoCC members will obtain appropriate education or training on diversity, equity, and inclusion and conflict resolution.

4.2 Reporting Process

Collaborators may report issues to the CoCC via private communication with any member of the CoCC or via the committee's mailing list: sbnd-cocc@fnal.gov

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[1] https://www.integritycounts.ca/org/Fermilab

[Note: To be created]. Collaborators may also ask a trusted colleague to contact the CoCC on their behalf. While there is no mechanism for fully anonymous reporting, the surrogate is not required to share the identity of the person they represent.

Issues communicated privately to a single member will be shared with the full committee unless a request is made to restrict the discussion to a smaller group; in this case, a minimum of two members of the CoCC will be involved. If the complaint directly involves a CoCC member, that member will not be included in discussions or decisions associated with that report. All discussions with the CoCC will be kept confidential within the CoCC committee unless an agreement is reached to involve others or the CoCC feels ethics-bound to take action on issues that are serious threats to community wellbeing. The CoCC must use their judgement as to when community wellbeing is significantly threatened.

The CoCC will communicate with the person making the report to determine an appropriate response that is consistent with the accountability process described in Section 4.3. The CoCC will apply its judgement in determining the response, but will make every effort to find a response that is sastisfactory to the person making the report. If further information is needed, the CoCC may contact other community members, making every effort to preserve confidentiality. The CoCC will keep confidential records of all reports and resulting actions and will be conscious of observing patterns of behavior if multiple reports involve a particular person, group, or situation. The CoCC will make regular presentations to the collaboration with aggregate descriptions of reports received and actions taken, taking care to preserve the confidentiality and anonymity of the people involved.

4.3   Accountability

The CoCC will use its judgement to determine how best to ensure accountability for each specific report they receive. It is not possible to describe every possible situation and the corresponding response; rather this section describes general categories of reports and appropriate types of response, to guide CoCC deliberations. In the case of more serious consequences involving removal of people from roles or situations within the collaboration, the CoCC will recommend appropriate consequences to the SBND IB; the IB will have final responsibility for ratifying and imposing consequences. The CoCC and the IB will strive to respect the privacy of individuals as much as possible, while recognizing that full anonymity/confidentiality may not be possible in cases where consequences are imposed. More egregious behavior may be reported to the appropriate organizations at Fermilab, at a collaborator's home institution, or law enforcement, as appropriate.

- Isolated incidents of disrespectful, nonconstructive, noninclusive, or anti-collaborative behavior: Appropriate responses could include simply recording the report, composing a general reminder of appropriate behavior to the collaboration or to a subgroup in which the incident occurred, com-

posing a personalized reminder of appropriate behavior to the person who committed the offense, or having a conversation with the person who committed the offense. This category may include instances where a collaboration member is concerned that the core principles are not being upheld in addition to isolated or less severe instances of forbidden behavior. This is intended to provide an opportunity for everyone to learn to be a better collaborator and to provide appropriate responses for situations in which harm is inadvertent. Very egregious isolated incidents or repeated incidents of similar behavior after this intervention would fall under the next category and could require more significant consequences.

- Repeated incidents of disrespectful, nonconstructive, noninclusive, or anti-collaborative behavior or egregious isolated incidents: If a pattern of behavior is established, behavior is repeated after the reminders/discussions described in the previous category, or if the violation is egregious, escalating consequences will be applied. These may include being barred from particular settings and/or communication channels where the behavior is occurring (eg: email lists, Slack channels, working group meetings, social events) or being removed from collaboration leadership positions. In determining these consequences, protecting collaboration members impacted by the behavior from further harm should be the primary consideration. The person exhibiting these behaviors may also be reported to the appropriate organizations at Fermilab and/or at their home institution.

- Incidents involving unethical scientific practices and or interpersonal behavior: If a collaboration member is determined to have abused their authority, exploited those under their supervision, fabricated, falsified, or plagiarized data or results, or engaged in any form of harassment or assault, serious consequences will be imposed. These may include being barred from collaboration activities, being removed from collaboration leadership positions, or being removed from the collaboration. The behavior may be reported to the appropriate organizations at Fermilab, at their home instution, or law enforcement, as appropriate.

Acknowledgments

This document draws heavily from the DPF Core Principles and Community Guidelines [1], Draft APS Statement on Ethics [2], Code of Conduct for the NOvA Collaboration [3] and Fermilab's Statement of Community Standards [4].

References

[1] DPF Core Principles and Community Guidelines: https://docs.google.com/document/d/1OD8khECoDKni_yMsSdkzgdYvUUXl4O2pQCbCwGURILI/edit.

[2] Draft APS Statement on Ethics: https://www.aps.org/policy/statements/ethics.cfm.

[3] Code of Conduct for the NOvA Collaboration: https://nova-docdb.fnal.gov/cgi-bin/RetrieveFile?docid=32404&filename=Code_of_Conduct_for_the_NOvA_Collaboration.pdf&version=9.

[4] Fermilab's Statement of Community Standards: https://directorate-docdb.fnal.gov/cgi-bin/RetrieveFile?docid=174.