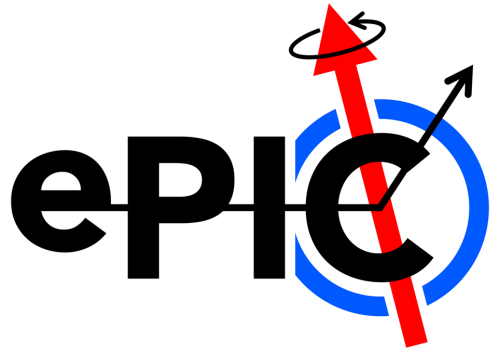


Update on ePIC Code of Conduct Policy



Committee

Chair: Megan Connors (GSU)

Vice Chair: Christine Nattrass (UTK)

Collaboration Council Meeting

November 8, 2024

Code of Conduct in the charter

“The Diversity, Equity and Inclusion (DEI) **Committee develops the Collaboration Code of Conduct (CoC) policy**, and, upon **approval of the policy by the CC**, is in charge of maintaining it. **It also handles any violations of it by members of the collaboration according to the policies specified in it.** The Diversity, Equity and Inclusion committee will consist of a minimum of 5 members that shall cover a diverse representation of all backgrounds present in the collaboration, such as career status, regional representation, ethnicity, gender identity and sexual orientation, etc.”

Status:

- ✓ DEI Committee has generated a first draft v1.1
- ✓ Shared draft for collaboration feedback
- ✓ Addressed feedback & released v1.2

Feedback Summary

- Thank you to all those that provided feedback on version 1.1
- The DEI carefully discussed this feedback via email, meetings and google doc comments
- Responses to the feedback were shared with the collaboration along with the revised version 1.2
- Today I will briefly discuss the biggest concerns raised with version 1.1, how we addressed those concerns and the next steps

Conflicts of Interest

- There were a few comments that indicated a misunderstanding of some of the language around conflict of interest
- In version 1.2, we tried to more clearly define conflict of interest as well as when and what to disclose

Conflicts of Interest

- Version 1.2
- Collaborators will follow ethical practices and uphold the integrity of the collaboration and the scientific method. This includes demonstrating impartiality. Collaborators must be honest and transparent in their communication and actions. This includes avoiding conflicts of interest and disclosing any potential conflicts of interest promptly including romantic relationships (**disclosure does not need to include the reason or details of conflict**). **A conflict of interest arises when the personal interests of an individual might adversely affect their duty to make decisions for the benefit of the collaboration. Note that the appearance of conflicts of interest is relevant, not only when the individual feels conflicted.** Collaborators must also maintain appropriate confidentiality of information received as part of committee duties. Likewise collaborators must safeguard information, documents or data internal to the Collaboration, and ensure that such material in our possession is appropriately used and protected.
- Revision suggest by John Lajoie:
- Collaborators will follow ethical practices and uphold the integrity of the collaboration and the scientific method. This includes demonstrating impartiality. Collaborators must be honest and transparent in their communication and actions. This includes avoiding conflicts of interest and disclosing any potential conflicts of interest promptly. **A conflict of interest arises when the personal interests of an individual might adversely affect their duty to make decisions for the benefit of the collaboration. Note that the appearance of conflicts of interest is relevant, not only when the individual feels conflicted.** Conflicts of interest can include romantic relationships (**disclosure does not need to include the reason or details of a conflict**). Collaborators must also maintain appropriate confidentiality of information received as part of committee duties. Likewise collaborators must safeguard information, documents or data internal to the Collaboration, and ensure that such material in our possession is appropriately used and protected.

Appeals Process Concerns

- In v1.1 appeals were not handled by essentially the same people that made the initial decision and several commented about the need for an independent group
- Also it was unclear for what reasons an appeal would be considered or how many times one could appeal

Revised Appeals Section

D. Appeals

Individuals dissatisfied with the resolution of their report or the interim measures may appeal the decision. All appeals must be submitted to the DEI committee and Collaboration Council chairs with a justification of the appeal that should include new evidence or information about the case. When the CC chairs receive a request for an appeal, they will determine if the appeal warrants a formal review. **For an appeal to move to the review process, it must be a decision not previously appealed and reviewed by an ad hoc appeal committee, there must be new evidence or information available or proof of a flaw in the original process. The CC chairs will form an ad hoc committee of 3 members of the Collaboration Council that will serve as a review board for an appeal.** The DEI committee will provide the review board with a summary of the reported violation, the procedures followed and rationale that lead to the imposed sanction. The review board will meet with the person who submitted the appeal and review any new information provided. The review board will make a summary of their findings and provide a recommendation. This recommendation may be to deny the appeal and uphold the original sanction, alter the previous sanction, or recommend a majority vote of the Collaboration Council to repeal the previous sanction.

Reporting to outside entities

- The committee feels it is important that people understand that if we are informed of a potential crime we are required to report that to the proper authorities. While we hope we do not have such situations arise, this document must address this.
 - v1.2 “When necessary or required by law, outside parties including local, state, and federal authorities, and people’s home institutions will be notified. The relevant collaboration council representative shall also be consulted in such cases.”
- “Notification to the appropriate funding agency” is a possible Tier 3 sanction which would require the majority of the collaboration council to agree that this should be applied. Tier 3 is for severe violations that we need a prescription for dealing with but hope will never need to.

BNL Code of Conduct

- BNL recently released a code of conduct for employees
- BNL plans to release a code of conduct for users
- Adding a line to ePIC code of conduct to acknowledge that collaborators must adhere to it
- “This document outlines expectations for ethical professional behavior that all members of the ePIC collaboration must follow and how any violations of this code of conduct will be addressed. These expectations are based on the values of the ePIC collaboration. **In addition, collaborators are required to abide by the *Brookhaven National Lab Code of Conduct for Users* and other applicable codes of conduct.**”

Timeline

Goal to have CoC in place before January collaboration meeting

- Voting Concludes Dec 23
- Voting Starts 2 weeks before → Dec 9
- Voting announced 3 weeks prior → November 18
- Comment period for current was 3 weeks until Nov 22 so please send comments before November 15 so final version is ready November 18.
- Hoping that today's discussion resolves any significant concerns and will proceed with minor revisions

DEI Committee Membership

1. Francesco Bossù (CEA-Saclay)
2. Megan Connors (GSU) (Chair)
3. Wouter Deconinck (University of Manitoba)
4. Narbe Kalantarians (Virginia Union University)
5. Christine Nattrass (University of Tennessee) (Vice Chair)
6. Iris Ponce Pinto (Yale University)
7. Maya Shimomura (Nara Women's University)
8. Allison Zec (University of New Hampshire)