



**KM3NeT**

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## **KM3NeT Code of Conduct and Ethical Behaviour**



## Preamble

The scientific objectives of the KM<sub>3</sub>NeT Collaboration are the search for and observation of sources in the Universe of high-energy cosmic neutrinos and the measurement of characteristics of neutrinos generated in the Earth's atmosphere. For this, the Collaboration is building a network of neutrino detectors at the bottom of Mediterranean Sea at locations with depths of several kilometres. At the same locations, the network also provides nodes for connection of instruments for Earth and Sea science studies. Building the detectors with instrumented volumes up to several cubic kilometres will take several years, depending on available funding. The detectors will remain in operation for at least 10 years. Scientific analyses of the recorded data are conducted under supervision of the Collaboration; after a few years, the data will be made available to others as described in the KM<sub>3</sub>NeT dissemination plan.

The scientists and engineers in the KM<sub>3</sub>NeT Collaboration that have come together because they share the scientific interest, come from different backgrounds, countries and cultures. This diversity is considered a strength of the Collaboration and the basis for high-quality research. To nurture the diversity the Collaboration has developed a Code of Conduct built on a set of shared values and describing rules of good conduct. The formal rules for Collaboration are described in a Memorandum of Understanding (MoU) signed by the funding authorities of the institutes employing the people in KM<sub>3</sub>NeT Collaboration. The MoU defines the commitments of the signatories for realising the research infrastructure and the scientific programme as well as the organisation, management and governance of the KM<sub>3</sub>NeT Collaboration. At the time of writing of this Code of Conduct and Ethical behaviour, the Collaboration comprises about 350 scientists, engineers, technicians and students from 47 research institutes and groups in 16 countries. This document describes the internal values of the Collaboration. It serves as a guide for scientific integrity as well as for decent behaviour in the working environment of KM<sub>3</sub>NeT. In the following, a summary of the internal values of KM<sub>3</sub>NeT is presented followed by rules of conduct to illustrate the values<sup>1</sup>.

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## **1. Values and principles of the KM3NeT Collaboration**

In several discussion rounds, all members of the KM3NeT Collaboration unanimously have identified the most important values and principles for their scientific work and social behaviour in the Collaboration. In summary, the KM3NeT Collaboration stands for:

- Commitment to the mission of KM3NeT;
- Reliability in complying to quality of service;
- Scientific integrity in conducting research and in reporting the results;
- Integrity in complying to social values and rules and legislations internal or external to KM3NeT;
- Respect for diversity and personal privacy;
- Accountability for collective activities and personal behaviour;
- Impartiality and honesty;
- Awareness of and care for the environment;
- Independence of assessment and advice.

In the next section, rules of conduct illustrate practical compliance to these values.

## **2. Rules of conduct for the KM3NeT Collaboration**

In order to make the KM3NeT internal values and principles practicable and explicable, rules of conduct illustrate each principle.

### ***Commitment and reliability***

In KM3NeT we are dedicated to the mission of KM3NeT, so we:

- Act in accordance with KM3NeT values and principles and are aware of the attendant responsibilities.
- Are aware of the fact that our personal public behaviour may reflect upon KM3NeT.
- Protect the reputation of KM3NeT and our colleagues in communications with internal and external parties.
- Are familiar with applicable legislation, rules, regulations and protocols, in particular those described in the KM3NeT Memorandum of Understanding.

- Follow relevant safety rules to maintain a safe and healthy environment for all.
- Follow relevant legislation and rules to protect the environment of the KM<sub>3</sub>NeT infrastructure.
- Follow rules for quality control to deliver high-standard and reliable products.
- In general, accommodate to the needs of KM<sub>3</sub>NeT.

### **Scientific integrity**

For a research organisation, scientific integrity is of paramount importance. In KM<sub>3</sub>NeT the Publication Committee is responsible for the scientific quality and integrity of the papers submitted to peer-reviewed scientific journals and the contributions of KM<sub>3</sub>NeT scientists to conference proceedings reviewed by the editorial committee of the conference. The Conference Committee is responsible for the quality and correctness of conference presentations including slides, posters, video and any other presentation material used to present publicly scientific results and/or KM<sub>3</sub>NeT technology. Both committees are appointed by the Institutes Board, the governing body of KM<sub>3</sub>NeT. The mandates of the committees are described in the Memorandum of Understanding signed by the KM<sub>3</sub>NeT funding authorities.

With reference to the scientific integrity secured in the above described bodies, in KM<sub>3</sub>NeT we:

- Comply with the rules set out by the KM<sub>3</sub>NeT management for public use of plots and figures.
- Comply with the rules set out by the Conference Committee of the Collaboration for public dissemination of KM<sub>3</sub>NeT results and progress.
- Comply with the rules set out by the Publication Committee of the Collaboration for publication of KM<sub>3</sub>NeT results in papers and contributions to conference proceedings.
- Give credits for their contribution to others in- or outside KM<sub>3</sub>NeT.
- Refrain from personal public statements about scientific results of KM<sub>3</sub>NeT that are not agreed upon by the Collaboration, its management or its governance body; this refers to preliminary results that need further scrutiny and are considered not mature enough for publication.

### **Integrity for the organisation**

In KM<sub>3</sub>NeT we comply with decent social values, so we:

- Exercise our authority responsibly. In particular, we abstain from using our authority or position to obtain personal benefits or favours.



- Credit others for their contribution.
- Avoid conflict of interest or situations that could be perceived as such.
- Declare any potential or actual conflicts of interest relating to research and where necessary take steps to resolve them.
- Refrain from any act or omission designed to deceive others.
- Refrain to achieve a gain resulting in a loss of funds or reputation for KM<sub>3</sub>NeT.
- Safeguard confidential information, documents or data, and ensure that such material is properly protected.
- Respect the privacy of others and protect personal information given to us in confidence.

### ***Respect for diversity and personal privacy***

In KM<sub>3</sub>NeT we respect each other, so we:

- Promote inclusiveness in the workplace and promote a collaborative attitude.
- Aim for a composition of the KM<sub>3</sub>NeT staffing reflecting the diversity in the Collaboration following the KM<sub>3</sub>NeT policy for diversity.
- Treat each other with tact and kindness and avoid offending others.
- Actively discourage discrimination in all forms.
- Are aware that statements or actions not intended to be offensive to another person may be perceived as such.
- Abstain from unpleasant or disparaging remarks or actions, including on the basis of sex, age, religion, nationality, culture, ethnicity, sexual orientation, status, disability, or family situation.
- Discourage all forms of harassment; verbal, non-verbal, written as well as physical abuse and actively intervene when observing inappropriate attitudes or actions.
- Protect the personal privacy of KM<sub>3</sub>NeT members following the European law, i.e. the General Data Protection Regulation (GDPR).

### ***Accountability for collective activities and personal behaviour***

In KM<sub>3</sub>NeT we aim at high professional personal and collective standards, so we:

- Strive for excellence when conducting research and aim to produce and disseminate work of the highest quality.

- Define clear and realistic objectives and deliverables for our activities.
- Communicate clearly about our objectives and deliverables.
- Guard the, for KM<sub>3</sub>NeT optimal, use of the human, material and financial resources.
- Take the future of KM<sub>3</sub>NeT into account when managing short and medium-term activities.
- Maintain a professional working environment and help colleagues where and when appropriate.
- Share with internal parties knowledge and information that could be useful for them.
- Realise that senior scientists are role models for the next generation and have large impact on their career decisions.
- Foster young scientists and forward their career, e.g. by giving credits to their work both internally and externally.
- Help along on an atmosphere of tolerance and mutual respect.
- Ensure that our undertaken research complies with any agreements, terms and conditions relating to KM<sub>3</sub>NeT.

### ***Impartiality and honesty***

In KM<sub>3</sub>NeT we act impartially, so we:

- Demonstrate fairness and impartiality.
- Attack conflicts proactively and impartially.
- Do the utmost to ensure the accuracy of data and results and acknowledge the contributions of others.
- Promote the open exchange of ideas, research methods, data and results and their discussion, scrutiny and debate, subject to any considerations of confidentiality.

### ***Awareness of and care for the environment***

In KM<sub>3</sub>NeT we take good care of the environment, so we:

- Look after the environment of the KM<sub>3</sub>NeT infrastructure and prevent environmental damage.
- Minimize the environmental impact of KM<sub>3</sub>NeT instruments.
- Comply with legislations and rules for the protection of the environment of the KM<sub>3</sub>NeT infrastructure.
- Are committed to remove all material of the telescopes during the decommissioning of the detectors at the end of their lifetime.

### ***Independence of assessment and advice***

In KM<sub>3</sub>NeT we aim for independence in assessment, so we:

- Keep (the results of) our research free from unscientific influences.
- Encourage every Collaboration Member to contact the Ethics Committee or the committee for ‘Equality, Diversity and Inclusion’ in case of misconduct by Collaboration Members either scientifically or socially.

### **3. Implementation of and compliance with the Code**

At the time of writing this Code, the KM<sub>3</sub>NeT Collaboration is establishing an Ethics Committee for impartial interpretation of the Code of Conduct and to act as an impartial intermediate in case of (potential) conflict or abuse of the rules of conduct set out. The Ethics Committee will be available for cases of abuse of scientific integrity. The Ethics Committee will report to the KM<sub>3</sub>NeT Resources Review Board and will advise the Institutes Board. The committee members have no KM<sub>3</sub>NeT institutional power or responsibility to avoid conflicts of interests to and ensure their impartiality. The committee includes external experts in the field of the natural environment of the KM<sub>3</sub>NeT detectors and for confidential ‘ombuds’-issues.

In addition, the KM<sub>3</sub>NeT management has installed the committee for ‘Equality, Diversity and Inclusion’ of two senior KM<sub>3</sub>NeT scientists who will serve for two years in the committee. Their mandate and terms of reference are described in a separate policy document<sup>2</sup>. Among their activities is to be available for support of colleagues that became victims or witnesses of bullying, harassment or other inappropriate behaviour in the Collaboration. The committee reports to the KM<sub>3</sub>NeT Management Team.

All members of the KM<sub>3</sub>NeT Collaboration receive a copy of the Code of Conduct and Ethical Behaviour. The Code is published on the public website of KM<sub>3</sub>NeT and in the wiki pages of KM<sub>3</sub>NeT.

### **4. External users of the KM<sub>3</sub>NeT Research Infrastructure**

For external users of the KM<sub>3</sub>NeT Research Infrastructure, customised agreements between KM<sub>3</sub>NeT and the legal entity representing them will be negotiated. All external users will receive a copy of this Code of Conduct, which they will sign for compliance.