



KM3NeT –INFRADEV – H2020 –739560

Code of Conduct and Ethical Behaviour in KM3NeT

KM3NeT –INFRADEV GA DELIVERABLE: D5.1

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Abstract

In this report, the design and implementation process is presented of a *Code of Conduct and Ethical Behaviour in KM3NeT*. Recommendations for ensuring compliance with the code are formulated. The integral Code of Conduct and Ethical Behaviour is included in the Annex as well as several information brochures on the Code of Conduct and Ethical Behaviour.



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	Name	Partner/WP	Date
Author(s)	N. de Graaf, E. de Wolf	NWO-I	18/09/2019
Reviewed by	D. Samtleben	KM3NeT IB	11 /12/2019
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APPLICATION AREA

This document is a formal deliverable for the GA of the project, applicable to all members of the KM3NeT– INFRADEV project, beneficiaries and third parties, as well as its collaborating projects.

TERMINOLOGY

CC	Conference Committee (Internal KM3NeT Committee responsible for the assignment of KM3NeT speakers on conferences and for the quality of slides and posters)
CSA	Coordination and Support Actions



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EC	Ethics Committee
EDI	Equality, Diversity and Inclusion
ESFRI	European Strategy Forum on Research Infrastructures
GNN	Global Network of Neutrino telescopes
IB	Institutes Board (KM3NeT governing body)
MoU	Memorandum of Understanding
PC	Publication Committee of KM3NeT
PMB	Project Management Board of the KM3NeT-INFRADEV project
RRB	Resources Review Board of KM3NeT
RI	Research Infrastructure

LIST OF FIGURES

None

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None

PROJECT SUMMARY

KM3NeT is a large Research Infrastructure that will consist of a network of deep-sea neutrino telescopes in the Mediterranean Sea with user ports for Earth and Sea sciences. Following the appearance of KM3NeT 2.0 on the ESFRI roadmap 2016 and in line with the recommendations of the Assessment Expert Group in 2013, the KM3NeT-INFRADEV project addresses the Coordination and Support Actions (CSA) to prepare a legal entity and appropriate services for KM3NeT, thereby providing a sustainable solution for the operation of the research infrastructure during ten (or more) years. The KM3NeT-INFRADEV is funded by the European Commission's Horizon 2020 framework and its objectives comprise, amongst others, formalising aspects of the role of KM3NeT as a responsible organisation and to investigate possible key performance indicators of the societal impact of KM3NeT (Work Package 5).



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EXECUTIVE SUMMARY

Development of a Code of Conduct for KM3NeT

The overall objective of the work of WP5 of the KM3NeT-INFRADEV project is to formalise aspects of the role of KM3NeT as a responsible organisation and to investigate the possibility to formulate key performance indicators of the societal impact of KM3NeT in human capacity building. As a collaborative scientific community, KM3NeT is committed to transparency and accountability of its scientific mission and the ethical behaviour of the community both internally and in relation to society at large. With a growing KM3NeT community and increasing public scrutiny of research activities it is necessary to formalise the commitments in a written code of conduct and ethical behaviour in conducting KM3NeT-related science, clarifying the mission, values and principles of the KM3NeT community. The code serves both as a guideline for the KM3NeT community and as a statement of the values of KM3NeT for scrutiny by society. In this report the process is described of designing and implementing a KM3NeT Code of Conduct and Ethical Behaviour (D5.1). A copy of the Code and supporting guidelines and flyer can be found in Annexe 1-4. Recommendations and lessons learned during the design and implementation of the Code are summarised in Annex 7.

We ensured the transparency of the process towards a well-accepted and supported Code of Conduct and Ethical Behaviour for KM3NeT through regular progress reports by the WP5 leaders at the meetings of the Institutes Board (IB) of KM3NeT, the support expressed by the KM3NeT management at the plenary session of the Collaboration meetings and the WP5-report on the KM3NeT/INFRADEV Joint Meeting and Collaboration meetings.

Achievements reached

Together, this led to the following concrete achievements: (i) a written Code of Conduct and Ethical Behaviour; (ii) publication of the Code of Conduct at the public KM3NeT website¹; (iii) written 'Guidelines in case of inappropriate conduct in KM3NeT' and (iv) the decision of the RRB to delegate the responsibility of establishing the envisaged Ethics Committee to the IB, which on its turn decided to extend the mandate of the envisaged Ethics Committee with supervising an impartial interpretation of the Code of Conduct.

The Ethics Committee

As stated above, the Ethics Committee (EC) takes care of an impartial interpretation of the Code of Conduct and acts as an impartial intermediary in case of (potential) conflicts or abuse of the rules of conduct. The EC is available for cases of abuse of scientific integrity. The EC reports to the KM3NeT Resources Review Board and advises the Institutes Board. Members of the EC do not have KM3NeT institutional power or responsibility. This, to avoid conflicts of interests and to ensure their

¹ <https://www.km3net.org/about-km3net/code-of-conduct-and-ethical-behaviour/>



impartiality. The committee also includes external experts in the field of the natural environment of the KM3NeT detectors and for confidential ‘ombuds’-issues.

Implementation milestones

During the KM3NeT-INFRADEV project several milestones were met towards sustainable implementation of the Code of Conduct and Ethical Behaviour. During the Collaboration meeting in Rabat in February 2018, a dedicated task group made a list of KM3NeT values. In May 2018, at the Collaboration meeting in Granada, in a plenary session, the values of the full Collaboration were polled. The collective values formed the basis of the Code of Conduct and Ethical behaviour in which the rules to comply with are described. After a few iterations, the IB endorsed the Code of Conduct and Ethical behaviour in its meeting in Caserta on 23 October 2018. In June 2019, a printed version of the Code was handed out to all Collaboration members at the Collaboration meeting in Nantes.

Communication about the Code

An internal KM3NeT wiki-page has been setup to inform the Collaboration on the Code of Conduct and Ethical Behaviour. At this page, the integral Code is available together with FAQ and ‘*Guidelines in case of inappropriate conduct in KM3NeT*’. The Guidelines are considered internal documents. The Code is made publicly available on the KM3NeT website. A printed version of the Code, the Guidelines and quick introductions to both have been handed out to Collaboration members at the Collaboration meeting in Nantes, June 2019. The management of KM3NeT has included the information about the Code of Conduct and Ethical behaviour in the ‘starter’s kit for newcomers in the Collaboration’.

Recommendations and lessons learned

Recommendations for building sustainable commitment to the Code include: (i) Keep the Collaboration members –at all levels– involved during the designing and implementation process; (ii) Define clearly what is considered as misconduct, to make sure all people have the same starting point; (iii) Establish an impartial committee for impartial interpretation of the Code of Conduct and to act as an impartial intermediary in case of (potential) conflicts or abuse and (iv) Inform newcomers about the Code of Conduct and Ethical Behaviour in an introductory, welcoming email by the Spokesperson.

Finalising involvement of WP5 leaders

For all activities mentioned above, the WP5 leaders took the initiative supported by a dedicated task group of KM3NeT scientists. With the acceptance of the Code of Conduct and Ethical Behaviour, the KM3NeT IB is responsible for a successful implementation of the Code. The IB charged the WP5 leaders to start implementation activities such as writing the Guidelines and information leaflets. They remained available for these supportive actions until the end of their mandate in December 2019 to ensure a firm start of commitment to the Code of Conduct in KM3NeT.



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I. Introduction

This document comprises the report on the design and implementation of a *Code of Conduct and Ethical Behaviour in KM3NeT*, which is one of the deliverables (D5.1) of the KM3NeT-INFRADEV project. A copy of the formal code document can be found in Annex 1.

As mentioned in the preamble of the Code of Conduct and Ethical Behaviour, scientists and engineers in the KM3NeT Collaboration came together because they share scientific interest; at the same time they are coming 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 and Ethical Behaviour built on a set of shared values and describing rules of good conduct. The formal rules for the Collaboration are described in a Memorandum of Understanding (MoU) signed by the funding authorities of the institutes employing the people in the KM3NeT 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 KM3NeT Collaboration.

Generally, the members of KM3NeT consider the social atmosphere in the KM3NeT Collaboration a very pleasant one. The many cultures mix easily and collaboration in scientific and technological endeavours is open and collegial. This was confirmed by the smooth and well supported process of finding agreement about a formal KM3NeT Code of Conduct and Ethical Behaviour. It was again confirmed in an internal survey conducted by WP5 on the professional well-being, of which the details are confidential. In the Code two main topics are addressed: scientific integrity as well as appropriate conduct.

At the time of writing of the Code of Conduct and Ethical Behaviour, the Collaboration comprised about 350 scientists, engineers, technicians and students from 47 research institutes and groups in 16 countries. The Code of Conduct and Ethical Behaviour 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 KM3NeT.

The various steps taken toward the development and implementation of the Code of Conduct and Ethical Behaviour are described and may serve as an example of best practices for other large scientific experiments or research infrastructures. Finally, a few recommendations are given on how to ensure compliance to the Code of Conduct in KM3NeT. They are summarized Annex 7.



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II. Methodology

Survey

At the start of the KM3NeT-INFRADEV project, a survey was conducted on existing Codes of Conduct in different countries and at different institutes or collaborations. The CERN Code of Conduct turned out to be a very good example and a source of inspiration². Not only the framework and text of the CERN Code were inspiring, at the same time CERN undertook a lot of actions to introduce the Code into their community well to ensure a firm implementation.

RECOMMENDATION for developers of a Code of Conduct

- Search for and investigate Codes of Conduct at institutions that are comparable with your own situation.

Support by the Collaboration

Right from the start of the project, care was taken to gain the support of the Collaboration at all levels as this was considered essential for acceptance of a Code of Conduct and Ethical Behaviour within the Collaboration. Activities to gain and nurture the support of the Collaboration included:

- At the *plenary kick-off* of the project during a Collaboration meeting in 2017 the development and implementation of a KM3NeT Code of Conduct and Ethical Behaviour was introduced. Feedback was given, the common feeling about having a KM3NeT Code was positive.
- The KM3NeT IB endorsed the installation of a *task group* with the mandate to draft a Code of Conduct and Ethical Behaviour for KM3NeT. Apart from the two WP5 leaders, the task group consisted of seven senior KM3NeT scientists. The m/f ratio in the task group was 1,25; seven geographical locations (countries) were represented in the committee, thus also representing the major funders of the KM3NeT project. After a face-to-face kick-off meeting chaired by one of the WP5 leaders, further communication between the task group members took place by email. The WP5 leaders were responsible for the full drafting process. The composition of the task group can be found in Annex 5.
- The *IB of KM3NeT* was regularly informed on the progress during each Collaboration meeting. The feedback of the IB was included in the draft of the Code.

² <https://hr-dep.web.cern.ch/content/code-of-conduct>



- The Collaboration was informed and consulted by *an interactive presentation on internal values and principles of KM3NeT* during a Collaboration meeting.
- After a final consultation round among the management, *the IB endorsed the final draft* of the Code of Conduct and Ethical Behaviour.
- The *Spokesperson* emphasised the importance of the Code of Conduct and Ethical Behaviour by presenting the Code during a Collaboration meeting.
- The *integral text of the Code* was printed and handed out to all Collaboration members at a Collaboration meeting.
- *Guidelines in case of inappropriate conduct in KM3NeT* were written to inform Collaboration members on possible steps to take in case of violation of the Code of Conduct. These guidelines were handed out to all Collaboration members at a Collaboration meeting.
- The Code of Conduct and Ethical Behaviour was *published at the public website* of the Collaboration to emphasise the importance of the Code.
- An internal wiki page was created with *FAQs about the Code*. This is a valuable tool to inform new-comers in the Collaboration.

Annex 6 comprises a list of meetings with the Collaboration.

RECOMMENDATION for developers of a Code of Conduct

- Create a support base at all levels of the Collaboration to realise a sustainable commitment to the Code of Conduct and Ethical Behaviour.

III. The Code of Conduct and Ethical Behaviour

A copy of the *KM3NeT Code of Conduct and Ethical Behaviour* can be found in Annex 1 to this report. Two main topics are addressed in the Code: scientific integrity and inappropriate behaviour. The document is considered a public document and is published at the public KM3NeT website. Here, the most important ingredients are summarised.

Values and principles of the KM3NeT Collaboration

As mentioned in the Code of Conduct, 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;



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- 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.

The practical compliance to these values was illustrated by rules of conduct. These rules of conduct were developed in order to make the KM3NeT internal values and principles practicable and explicable.

RECOMMENDATIONS for developers of a Code of Conduct

- Defining internal values is a good start for the development of a Code of Conduct and Ethical Behaviour. The discussions on the values and principles give a valuable understanding of what people are concerned about and what values they consider important in their working environment.
- In order to create commitment to the common internal values, it is important to discuss the values not only with the management, but also with individual Collaboration members.
- Illustrate the internal values by rules of conduct, to make them practicable and explicable.

Scientific integrity and inappropriate conduct

Two main topics are addressed in the Code: scientific integrity and inappropriate behaviour. Both topics were defined in the scope of KM3NeT.

In practice in KM3NeT, *scientific integrity* means adherence to the scientific rules of the Collaboration as described in the Memorandum of Understanding of the KM3NeT Collaboration, see also the paragraph 'Role of the MT, the IB, the RRB and internal Committees'.

Inappropriate behaviour occurs when violating the values and rules of the Collaboration as described in the Code of Conduct and Ethical Behaviour; discrimination and personal harassment or bullying are included.

Discrimination is the unjust or prejudicial treatment of different categories of people. This can be on the base of age, gender, religion or any other category. Discrimination may not necessarily be a conscious act or may be institutionalised through workplace practices.



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Harassment is conduct that exerts unwelcome pressure or intimidation. It is defined as disturbing, upsetting or threatening behaviour of a person or persons towards another or others. Harassment includes e.g. denigrating jokes, negative stereotyping, unwelcome sexual conduct, display and circulation of denigrating materials, on purpose socially isolating someone or not sharing work-related information. Bullying and harassment are closely related; bullying is considered as repetitive harassment.

A protocol for taking action as victim of inappropriate conduct or in case of witnessing inappropriate behaviour is described in the 'Guidelines in case of inappropriate conduct in KM3NeT', see Annex 3.

RECOMMENDATIONS for developers of a Code of Conduct

- Define what is considered as misconduct, to make sure that all people have the same starting point.
- Make clear that notions of what is socially acceptable behaviour can be different in different cultures.
- Make clear that it can be hard for people to raise objections or to express their feelings to someone higher in the hierarchy, and that it is important to behave and speak respectfully at all times.
- Offer a training or information on unconscious biases to employees, to give them insight in unconscious processes and behaviour.

Role of the MT, the IB, the RRB and internal Committees

In the Code of Conduct and Ethical Behaviour, the importance of scientific integrity for a research organisation is strongly underlined. In KM3NeT several bodies safeguard the scientific integrity. In KM3NeT, scientific integrity means in practice adherence to the rules of the Collaboration. These rules are set out by the management team and in particular by the Physics and Software Manager, the Scientific Workgroup leaders, the Conference Committee (CC) and the Publication Committee (PC).

The PC is responsible for the scientific quality and integrity of the papers submitted to peer-reviewed scientific journals and the contribution of KM3NeT scientist to conference proceedings reviewed by the editorial committee of the conference. The CC 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 KM3NeT technology. Both committees are appointed by the IB. The mandates of the committees are described in the MoU signed by the KM3NeT funding authorities.



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The RRB has delegated to the IB the task of KM3NeT to establish an Ethics Committee for impartial interpretation of the Code of Conduct and to act as an impartial intermediary in case of (potential) conflict or abuse of the rules of conduct set out. The mandate of the Ethics Committee comprises:

- be available for cases of abuse of scientific integrity;
- report to the KM3NeT Resources Review Board (RRB);
- advise the IB.

The committee members have no KM3NeT institutional power or responsibility to avoid conflicts of interest and to ensure their impartiality. The committee includes external experts in the field of the natural environment of the KM3NeT detectors and for confidential 'ombuds'-issues.

The MT has installed the committee for 'Equality, Diversity and Inclusion' (EDI), to support the MT on these topics. The committee consists of two senior KM3NeT scientists, one male, one female. The mandate of the EDI-committee is rather broad, among their activities is to be available as first line support of colleagues that became victims or witnesses of inappropriate behaviour in the Collaboration. To some extent the mandate of the EDI-Committee overlaps with that of the Ethics Committee, because the committee offers 'first-line' support in cases of violation of scientific integrity or unjust behaviour in the Collaboration. The difference is that the EDI-Committee is an executive committee that reports to the KM3NeT MT, while the Ethics Committee via the IB and the RRB reports to the governmental and oversight level of KM3NeT. In many cases, the EDI-Committee will serve as a gatekeeper for the Ethics Committee.

RECOMMENDATIONS for developers of a Code of Conduct

- Make clear what scientific integrity in the Collaboration means and which entities set out the rules that should be followed.
- Establish an Ethics Committee for impartial interpretation of the Code of Conduct and to act as an impartial intermediary in case of (potential) conflict or abuse of the rules of conduct set out.
- To avoid conflicts of interests and to ensure impartiality of the Ethics Committee, the committee members should have no KM3NeT institutional power or responsibility.
- To ensure enough knowledge of and experience with environmental or ombuds issues, external experts should have a seat in the Ethics Committee.

Monitoring

In order to ensure a sustainable commitment to the Code of Conduct, newcomers have to be informed about the Code and the Guidelines and sign for it. All external users of the KM3NeT Research Infrastructure (RI) receive a copy of the Code.



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The Ethics Committee reports annually to the Institutes Board about their activities and about cases of misconduct. The EDI-committee exercises an ombuds function and reports about activities and cases of misconduct to the MT. In more serious cases of misconduct, the EDI committee will delegate the case to the Ethics Committee.

In October 2019 a web-based internal survey has been carried out among active KM3NeT Collaboration Members (scientific staff, engineers, technicians, postdocs, PhD students and undergraduate students) on the professional wellbeing in the KM3NeT Collaboration. About 25% of the invited persons completed the survey, which is a high score for these kind of surveys. Questions were categorised in three clusters: (i) personal data, (ii) professional wellbeing in the Collaboration and (iii) possible obstacles for attending KM3NeT meetings and representing KM3NeT at conferences. At the end of the survey, respondents were asked to give feedback. The survey gave a good insight in the professional wellbeing of people inside the Collaboration. It was encouraging to see that by far most of the respondents consider the KM3NeT Collaboration as a good place to work, although there are some critical notes. All results of the survey have been collected in an internal confidential report which has been presented to the MT.

RECOMMENDATIONS for executing a Code of Conduct

- To enhance the awareness of and the commitment to the Code of Conduct, all Collaboration members (existing and newcomers) should sign for compliance with the Code.
- External users of the KM3NeT RI should sign for compliance with the Code.
- To keep the Code of Conduct up-to-date, it is necessary to check and if need be to renew the Code of Conduct and Ethical Behaviour every 3-5 years.
- An annual web-based survey can serve as a nice tool to follow the professional wellbeing of Collaboration Members.

Communication

The Code of Conduct and Ethical Behaviour is published at the public KM3Net website. An internal KM3NeT wiki-page has been set up to inform the Collaboration on the Code and related topics.

At the wiki-page, the integral Code of Conduct is available together with a FAQ and Guidelines in case of inappropriate conduct in KM3NeT. The Guidelines are considered internal documents. The Code of Conduct and the Guidelines were presented to the participants of the Collaboration meeting in June 2019 in Nantes. At this meeting flyers with quick introductions to both documents were handed out as well (Annex 2 and 4).

The EDI-committee started to organise plenary EDI-sessions at every Collaboration meeting. At these meetings, also topics concerning appropriate conduct will be discussed to keep the knowledge and



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commitment up-to-date. The work of the EDI-Committee is described in more detail in Deliverable 5.2.

RECOMMENDATIONS for execution of a Code of Conduct

- Newcomers in the Collaboration have to be informed about the Code of Conduct and Ethical Behaviour and the Guidelines in case of inappropriate conduct in KM3NeT. This should be done by the Spokesperson in an introductory, welcoming email.
- Exchange experience and best practices with other large scale (astro)physics collaborations such as IceCube and the LHC experiments.
- For exchange of best practices, present experience with the development, execution and maintenance of the KM3NeT Code of Conduct and Ethical Behaviour at dedicated sessions of conferences such as ICRC, Neutrino, IHEP and EPS-HEP and possibly on the MANTS and VLVnT Workshops of the GNN.



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Annex 1 – Code of Conduct and Ethical Behaviour in KM3NeT

Copy of the formal document, consisting of 8 pages. The document has been published at the public KM3NeT website as well.



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Preamble

The scientific objectives of the KM3NeT 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 KM3NeT dissemination plan.

The scientists and engineers in the KM3NeT 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 KM3NeT 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 KM3NeT 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 KM3NeT. In the following, a summary of the internal values of KM3NeT is presented followed by rules of conduct to illustrate the values¹.



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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 KM3NeT infrastructure.
- Follow rules for quality control to deliver high-standard and reliable products.
- In general, accommodate to the needs of KM3NeT.

Scientific integrity

For a research organisation, scientific integrity is of paramount importance. In KM3NeT the Publication Committee is responsible for the scientific quality and integrity of the papers submitted to peer-reviewed scientific journals and the contributions of KM3NeT 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 KM3NeT technology. Both committees are appointed by the Institutes Board, the governing body of KM3NeT. The mandates of the committees are described in the Memorandum of Understanding signed by the KM3NeT funding authorities.

With reference to the scientific integrity secured in the above described bodies, in KM3NeT we:

- Comply with the rules set out by the KM3NeT 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 KM3NeT results and progress.
- Comply with the rules set out by the Publication Committee of the Collaboration for publication of KM3NeT results in papers and contributions to conference proceedings.
- Give credits for their contribution to others in- or outside KM3NeT.
- Refrain from personal public statements about scientific results of KM3NeT 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 KM3NeT 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 KM3NeT.
- 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 KM3NeT we respect each other, so we:

- Promote inclusiveness in the workplace and promote a collaborative attitude.
- Aim for a composition of the KM3NeT staffing reflecting the diversity in the Collaboration following the KM3NeT 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 KM3NeT members following the European law, i.e. the General Data Protection Regulation (GDPR).

Accountability for collective activities and personal behaviour

In KM3NeT 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 KM3NeT optimal, use of the human, material and financial resources.
- Take the future of KM3NeT 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 KM3NeT.

Impartiality and honesty

In KM3NeT 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 KM3NeT we take good care of the environment, so we:

- Look after the environment of the KM3NeT infrastructure and prevent environmental damage.
- Minimize the environmental impact of KM3NeT instruments.
- Comply with legislations and rules for the protection of the environment of the KM3NeT 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 KM3NeT 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 KM3NeT 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 KM3NeT Resources Review Board and will advise the Institutes Board. The committee members have no KM3NeT 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 KM3NeT detectors and for confidential 'ombuds'-issues.

In addition, the KM3NeT management has installed the committee for 'Equality, Diversity and Inclusion' of two senior KM3NeT scientists who will serve for two years in the committee. Their mandate and terms of reference are described in a separate policy document². 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 KM3NeT Management Team.

All members of the KM3NeT Collaboration receive a copy of the Code of Conduct and Ethical Behaviour. The Code is published on the public website of KM3NeT and in the wiki pages of KM3NeT.

4. External users of the KM3NeT Research Infrastructure

For external users of the KM3NeT Research Infrastructure, customised agreements between KM3NeT 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.

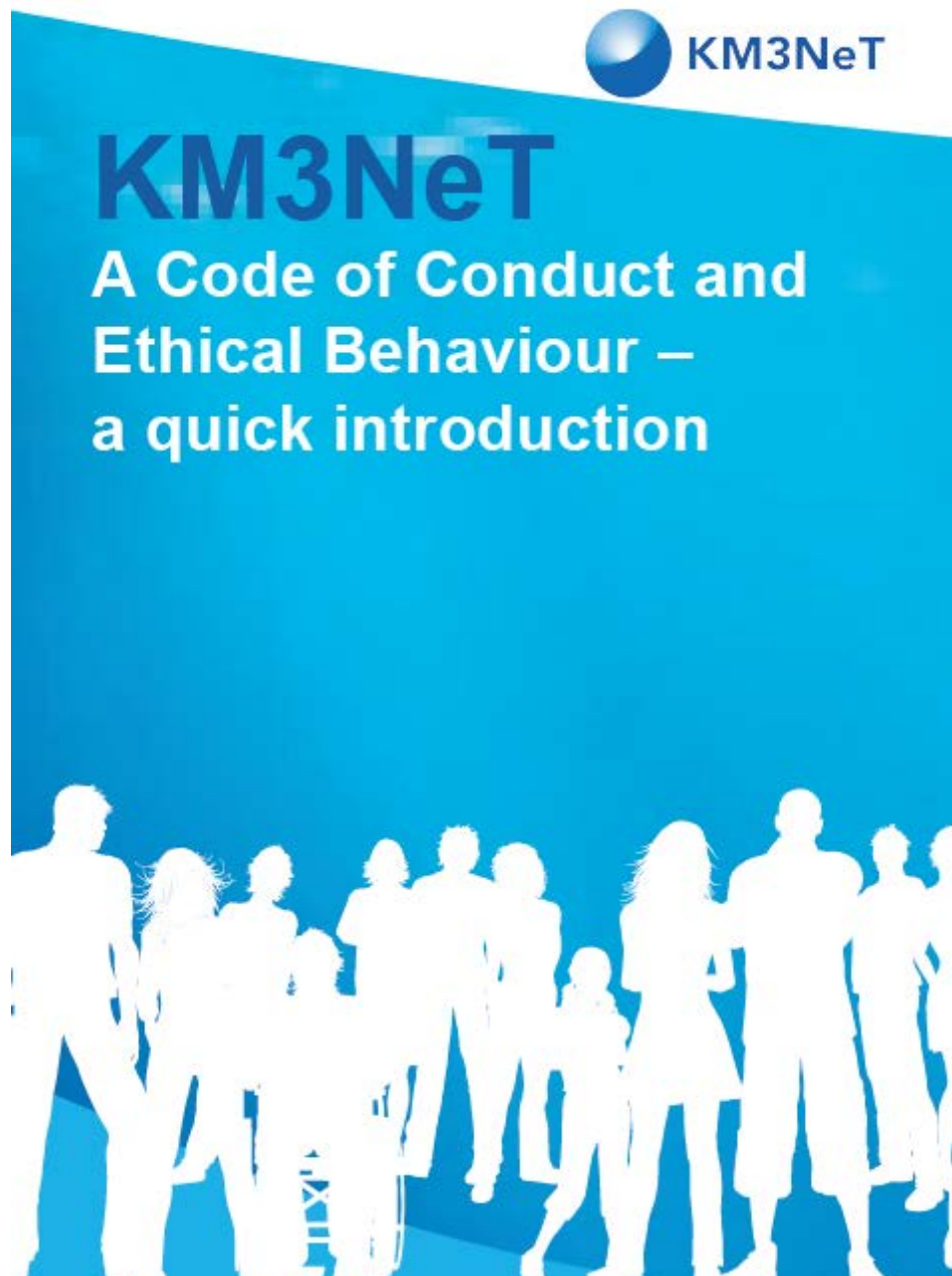
⁸ May 2019 – KM3NeT Code of Conduct and Ethical Behaviour

² Policy for Equality, Diversity and Inclusion in KM3NeT (v 20181023).



Annex 2 – Flyer ‘A Code of Conduct and Ethical Behaviour – a quick introduction’

The flyer consists of 2 pages.



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A Code of Conduct and Ethical Behaviour for KM3NeT.

In October 2018, the Institutes Board of the KM3NeT Collaboration endorsed the KM3NeT Code of Conduct and Ethical Behaviour. For advice and consultation about compliancy with the Code an Ethics Committee will be installed. This leaflet gives a short introduction to the Code of Conduct and Ethical Behaviour.

Why a Code of Conduct for KM3NeT?

The KM3NeT Collaboration is formed by people from many different backgrounds and cultures. It has more than 200 scientists, engineers, technicians and students from more than 50 research institutes and groups in more than 15 countries at four different continents. This diversity is a strength of the Collaboration and the basis for high-quality research. To nurture the diversity the Collaboration has developed a Code of Conduct and Ethical Behaviour comprising a set of shared values and describing rules of conducting themselves in a professional manner free from discrimination, harassment or retaliation and rules for preserving scientific integrity.

How to use the Code of Conduct and Ethical Behaviour?

It is the responsibility of everyone to treat each other with respect and consideration and create a supportive and inclusive working environment in the Collaboration. The KM3NeT Code of Conduct and Ethical Behaviour serves as a guide for everyday life in KM3NeT and as a reference in case of conflict or inappropriate behaviour. If you have questions concerning good conduct, the Code can help you to find answers. In case you feel uncertain about aspects of the Code, please contact your hierarchy or the Ethics Committee. In cases of inappropriate (scientific) behaviour in the Collaboration, you can consult the protocol for abuse and conflicts.

Where can I find the Code of Conduct and Ethical Behaviour?

The Code can be found in the wiki pages of KM3NeT and on the KM3NeT public website of the Collaboration. A page with frequently asked questions (FAQ) provides additional information.



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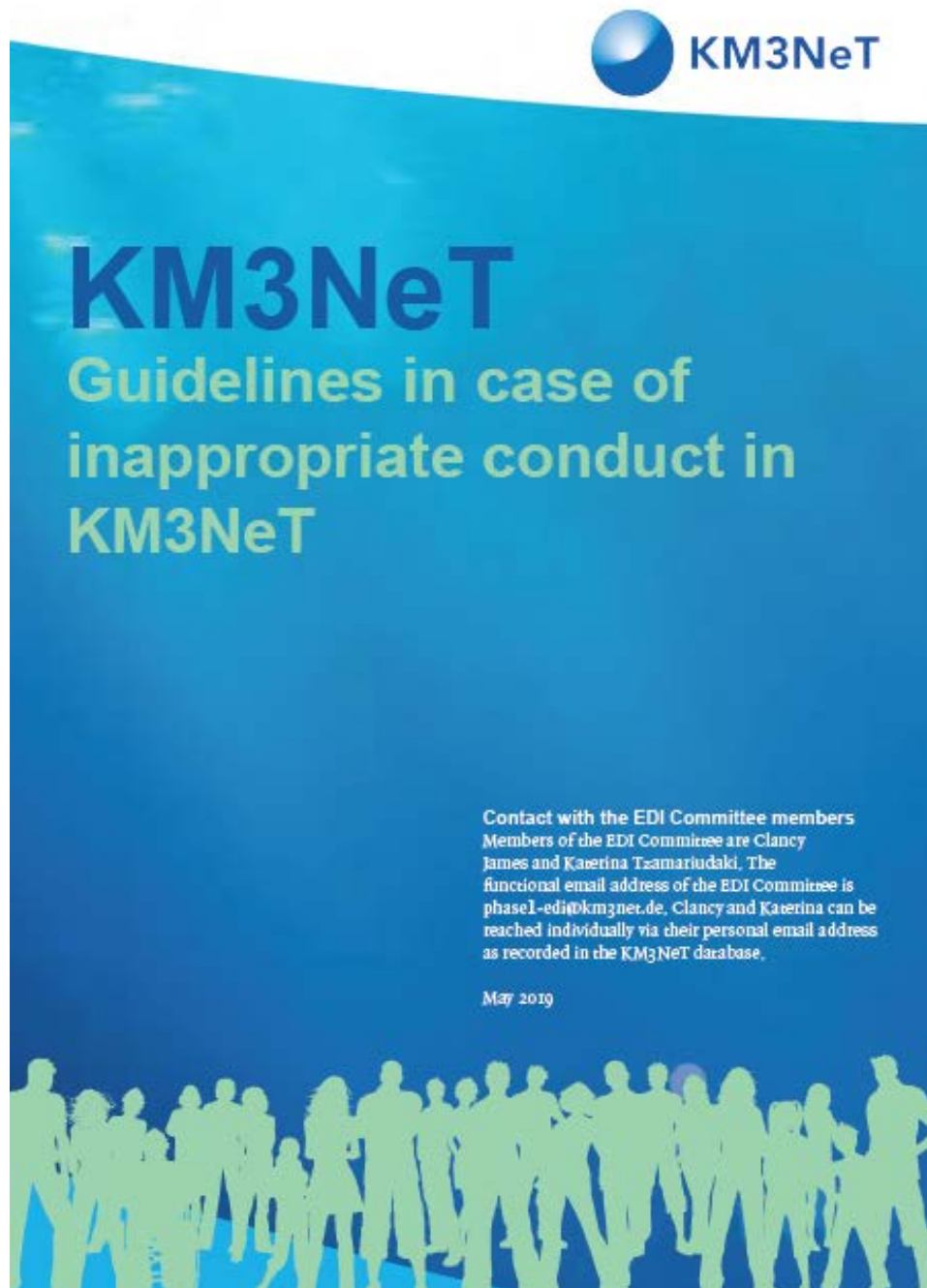
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Annex 3 – Guidelines in case of inappropriate conduct in KM3NeT

The guidelines consist of 4 pages.



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Introduction

Generally, the members of KM3NeT consider the social atmosphere in the KM3NeT Collaboration a very pleasant one. The many cultures mix easily and collaboration in scientific and technological endeavours is open and collegial. This was confirmed by the easy process of finding agreement about a formal KM3NeT Code of Conduct and Ethical Behaviour, established in 2018. In the Code the values and principles of the Collaboration are formally described. You can find the Code in the wiki pages of KM3NeT and on the public website of the Collaboration.

To safeguard the impartial interpretation of the Code and compliance with KM3NeT values two formal committees have been installed at two different levels of the KM3NeT organisation. The Ethics Committee with external members reports to the Resources Review Board. The EDI Committee – the committee for Equality, Diversity and Inclusion in KM3NeT – consisting of two senior KM3NeT scientists and reporting to the KM3NeT MT. You can find the mandates of the committees at the relevant pages of the KM3NeT wiki.

Both committees have their specific role in supporting and advising you in an unfortunate case of violation of the rules for scientific integrity within KM3NeT and/or in a case of inappropriate conduct in the broadest sense. This document will help you to decide which steps you can take.

You can find further details about the members and activities of the EDI Committee in the KM3NeT wiki. Contact details can also be found at the KM3NeT public website.

The functional email address of the EDI Committee is phase1-edi@km3net.de.

1. What is scientific integrity?

In practice in KM3NeT, scientific integrity means adherence to the rules of the Collaboration. These rules are set out by the Physics and Software Manager, the Scientific Workgroup leaders, the Conference Committee and the Publication Committee. Consult the rules at the relevant KM3NeT wiki pages. If you have questions about them, contact the above responsible persons or committee chairpersons. You can find their contact details at the public website of the Collaboration.

2. You witness violation of scientific integrity – what to do?

- If you witness someone not following the Collaboration rules for scientific integrity, try to talk to that person about it, or the Scientific Workgroup leader involved.
- If you feel unsecure about that, you can ask the EDI Committee for advice on how to deal with what you have noticed.
- If the person is persistent in their behaviour and does not act to your satisfaction, you could again contact the Scientific Workgroup leader involved and/or the KM3NeT management.
- If you are an early-career scientist you may consider first asking advice from your supervisor.
- If you are still not satisfied with the results of the steps you have taken, you may consider contacting the Ethics Committee to formally file a complaint.

3 May 2019 – Guidelines in case of inappropriate conduct in KM3NeT



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3. Someone tells you about a case of violation of scientific integrity – what to do?

- Listen carefully and discuss the observed violation in the context of the Collaboration rules.
- Mention the option to contact the Scientific Workgroup leader and/or the KM3NeT management.
- Mention the option to ask advice from the EDI Committee.
- Mention the option to file a complaint with the Ethics Committee.

4. You consider to file a complaint about violation of scientific integrity – what to do?

- Involve as much as possible the Scientific Workgroup leader and the KM3NeT management in the process.
- You may consider asking advice from the EDI Committee.
- Early-career scientists: you may consider to file a complaint together with your supervisor.
- Contact the Ethics Committee.

5. What is inappropriate conduct?

In practice in KM3NeT, inappropriate conduct is when you violate the values and rules of the Collaboration as described in the formal Code of Conduct and Ethical Behaviour. It is a catch-all term for anything that makes you feel personally uncomfortable as a member of KM3NeT. It includes discrimination and personal harassment or bullying.

Discrimination is the unjust or prejudicial treatment of different categories of people. This can be on the basis of age, gender, religion, or any other category. Discrimination may not necessarily be conscious, and may be institutionalised through workplace practices.

Harassment is conduct that exerts unwelcome pressure or intimidation. It is defined as disturbing, upsetting or threatening behaviour of a person or persons towards another or others. Harassment includes e.g. denigrating jokes, negative stereotyping, unwelcome sexual conduct, display and circulation of denigrating materials, on purpose socially isolating someone or not sharing work-related information. Bullying and harassment are closely related; bullying is considered as repetitive harassment.

In your conduct, be aware that notions of what is socially acceptable behaviour can be different in different cultures. Realise, that people might be afraid of raising objections or to express their feelings to someone higher in the hierarchy. It is important to realise this and to behave and speak respectfully at all times.

6. You witness inappropriate conduct – what to do?

- Contact the person that is the subject of the inappropriate conduct and offer your help.
- Record details of the incident. This might be important if you or the affected person decide to file a complaint.
- If appropriate, contact the offender and discuss your observations and feelings.
- If this does not help, you can contact the EDI committee.



- If you are in a leadership position, you should take action immediately and protect the affected person. If possible and appropriate, correct the offender on site. As leadership you set the example of good behaviour.

7. Someone tells you about being the subject of inappropriate conduct – what to do?

- Pay full attention to the person reporting to you. Most people do not complain easily, so the report deserves serious considerations.
- Do not interrupt and listen carefully, guarantee confidentiality.
- Do not express doubts on the report and do not suggest that the harassment might be the result of the behaviour of the complainant.
- Set the person at ease and let the person take their time.
- Mention the option to contact the EDI committee.

8. You are the subject of inappropriate conduct – what to do?

In case you are the subject of inappropriate behaviour you are strongly advised to contact the EDI Committee. The members of the EDI Committee are committed to listen and to help, they act independently and respect confidentiality.

If you want to take action yourself first, you may consider:

- To contact the offender, if you feel comfortable doing so. Maybe the person is not aware of your feelings and it can be helpful to tell them what you do not appreciate.
- Speak with someone you trust in your personal or working environment.
- In any case, write down facts: e.g. times, places, what has happened; save (digital) documents.
- Contact (one of) the members of the EDI Committee. They are independent of any hierarchy in KM3NeT and respect confidentiality. The members of the EDI Committee can help you with next steps.

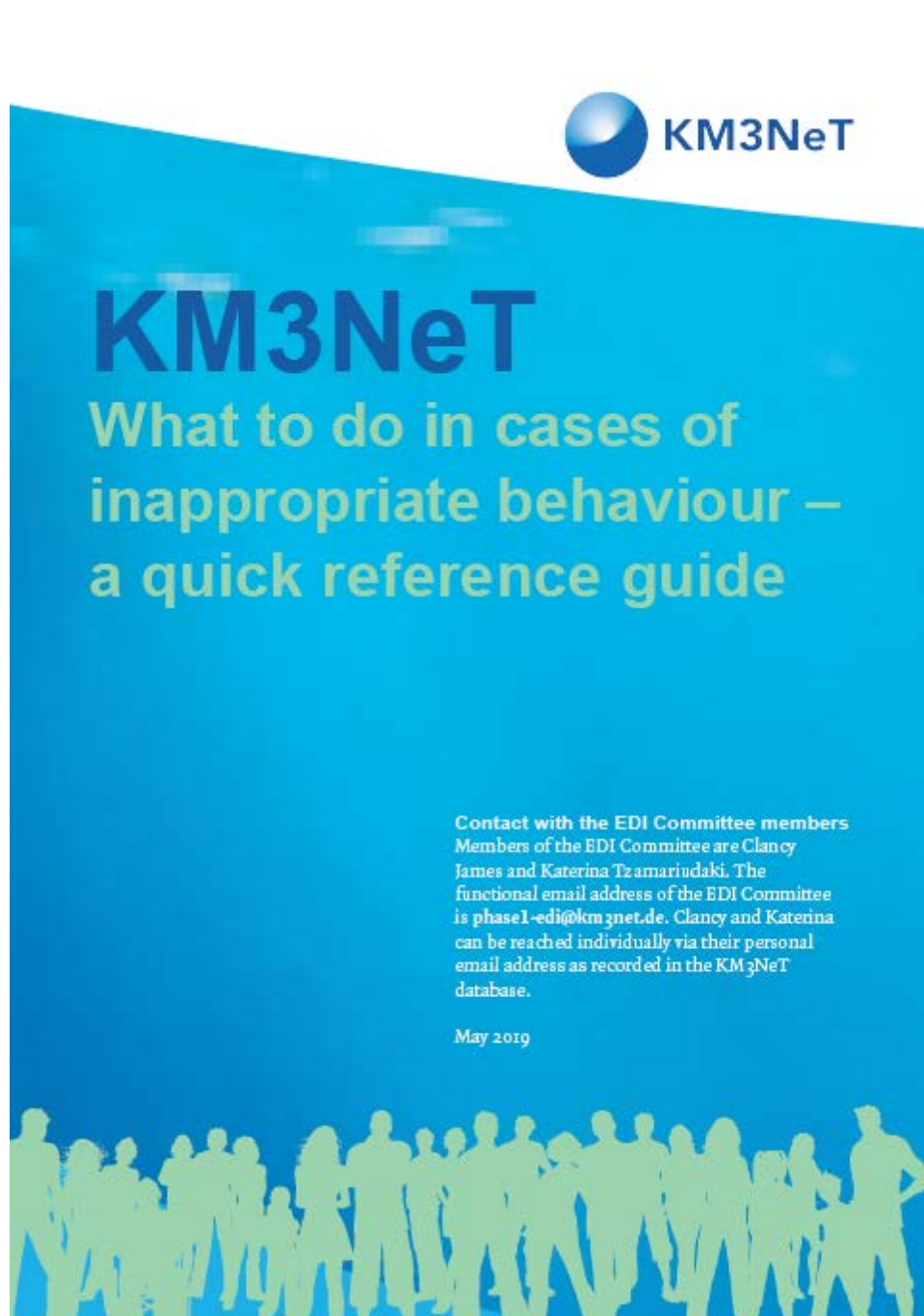
9. You consider to file a complaint about inappropriate conduct – what to do?

- Collect facts: e.g. times, places, what has happened; save (digital) documents.
- If you feel comfortable about it, speak to someone you trust in your personal or working environment. They can help you to make up your mind whether or not to file a complaint.
- Contact the EDI Committee. The members of the EDI Committee can provide you with help and can give you advice on the way to proceed. They can provide important support during complaints procedures, including initiating procedures for you.
- Complaints can be filed with the EDI Committee anonymously, although this constrains further action.
- Complaints filed with the EDI Committee will only be followed up by actions if you give explicitly permission to do so. The only exception is when the reported behaviour is deemed criminal, or somebody is in danger of harm.
- Be aware, that the members of the EDI Committee will always record the fact that a complaint has been received. Details of the complaint will only be recorded in accordance with the wishes of the complainant.



Annex 4 – Flyer ‘What to do in cases of inappropriate behavior – a quick reference guide’

The flyer consists of 2 pages:



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What to do in cases of inappropriate conduct in KM3NeT

Generally, people in KM3NeT consider the social atmosphere in the KM3NeT Collaboration a very pleasant one. The many cultures mix easily and collaboration in scientific and technological endeavours is open and collegial. Nevertheless, there might be cases of inappropriate scientific or social behaviour by people in KM3NeT. Below is a summary of how you may act in these unfortunate cases.

What is scientific integrity?

In practice in KM3NeT, scientific integrity means complying with the rules set out by the Collaboration. The Scientific Workgroup leaders and the conference and publication committees are responsible for monitoring compliance with the rules.

- **You witness violation of scientific integrity – what to do?**
 - Contact the offender and if necessary the scientific Workgroup leader, the Management or the Chairs of the publication and/or conference committees.
 - If nothing helps, consult the EDI Committee for advice (phase1-edig@km3net.de).
 - If necessary, file a complaint with the Ethics Committee.
 - Early-career scientists; you may consider contacting your supervisor first.
- **Someone tells you about a case of violation of scientific integrity – what to do?**
 - Listen carefully and discuss the witnessed violation in the context of the Collaboration rules.
 - Offer mediation and mention the option to contact the EDI Committee for advice.
 - Mention the option to file a complaint with the Ethics Committee.
- **You consider filing a complaint about violating scientific integrity – what to do?**
 - Contact the Scientific Workgroup leader and get him/her involved.
 - Consult the EDI Committee for advice (phase1-edig@km3net.de).
 - Contact the Ethics Committee.
 - Early-career scientists; you may consider to file a complaint together with your supervisor.

What is inappropriate conduct?

In practice in KM3NeT, inappropriate conduct is when you violate the values and rules of the Collaboration as described in the formal Code of Conduct and Ethical Behaviour. It is a catch-all term for anything that makes you feel personally uncomfortable as a member of KM3NeT. It includes discrimination and personal harassment or bullying.

- **You witness inappropriate conduct – what to do?**
 - If you feel comfortable, help the person affected by the harassment on the spot.
 - Contact the person being harassed and offer help. Mention the option of contacting the EDI committee.
 - Leadership: set the good example by correcting the offender on the spot.
- **Someone tells you about being harassed – what to do?**
 - Listen carefully and do not express doubt.
 - Mention the possibility to contact the members of the EDI Committee.
- **You are the subject of inappropriate conduct – what to do?**
 - If you feel comfortable about it, try to discuss it with the offender.
 - Contact the EDI Committee for advice and support.
- **You consider to file a complaint about inappropriate conduct – what to do?**
 - Contact the EDI Committee. They will file your case and give advice on next steps.



Annex 5 – INFRADEV task group

A task group to support the work of Task 5.1 was formed as follows:

Name	Affiliation	Position in KM3NeT
M. Ardid	Universitat Politècnica de València	Senior member of KM3NeT
M. Circella	INFN-Bari, University of Bari	Senior member of KM3NeT, former Technical Project Manager
P. Coyle	CPPM	Senior member of KM3NeT, member of MT, physics & software coordinator
N. de Graaf	Nikhef	INFRADEV/WP5 leader, Chair of committee
U. Katz	ECAP, FAU	Senior member of KM3NeT, former physics & software coordinator
D. Samtleben	Nikhef, Leiden University	Senior member of KM3NeT, working group leader
Y. Tayalati	University Mohammed V	Senior member of KM3NeT
K. Tzamarioudaki	NCSR-D	Senior member of KM3NeT, EDI officer since 1 March, 2019, Site manager of Greek site
E.de Wolf	Nikhef	Senior member of KM3NeT, INFRADEV/WP5 coordinator



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Annex 6 – Meetings

Apart from regular internal WP5-progress meetings and Project Management Board (PMB) meetings, the status and progress of the work of WP5-Task 5.1 has been presented to the KM3NeT Collaboration at various occasions for feedback during the implementation of the Code of Conduct and Ethical Behaviour.

Date	Type	Location	Estimated nr. of participants
2017-02-15	INFRADEV kick-off meeting	Athens	95
2017-06-13	14 th IB meeting	Bari	27
2017-10-03	15 th IB meeting	Marseille	28
2018-02-07	Kick-off meeting Task group for task 5.1	Rabat	7
2018-05-08	Interactive presentation	Granada	70
2018-06-21-22	INFRADEV/KM3NeT Joint meeting	Amsterdam	38
2018-10-23	18 th IB meeting	Caserta	35
2019-02-26	Presentation by Spokesperson	Tbilisi	75
2019-02-26	19 th IB meeting	Tbilisi	31
2019-06-11	EDI-Session	Nantes	85
2019-10-08	EDI-Session	Warsaw	70



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Annex 7 – Summary of recommendations

RECOMMENDATIONS for developers of a Code of Conduct and Ethical Behaviour

- Search for and investigate Codes of Conduct at institutions which are comparable with your own situation.
- Create a support base at all levels of the Collaboration to realise a sustainable commitment to the Code of Conduct and Ethical Behaviour.
- Defining internal values is a good start for the development of a Code of Conduct and Ethical Behaviour. The discussions on the values and principles give a valuable understanding of what people are concerned about and what values they consider important in their working environment.
- In order to create commitment to the internal values, it is important to discuss the values not only with the management, but also with individual Collaboration members.
- Illustrate the internal values by rules of conduct, to make them practicable and explicable.
- Define what is considered as misconduct, to make sure that all people have the same starting point.
- Make clear that notions of what is socially acceptable behaviour can be different in different cultures.
- Make clear that it can be hard for people to raise objections or to express their feelings to someone higher in the hierarchy, and that it is important to behave and speak respectfully at all times.
- Offer a training or information on unconscious biases to employees, to give them insight in unconscious processes and behaviour.
- Make clear what scientific integrity in the Collaboration means and which entities set out the rules that should be followed.

RECOMMENDATIONS for execution of a Code of Conduct and Ethical Behaviour

- Establish 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.
- To avoid conflicts of interests and to ensure impartiality of the Ethics Committee, the committee members should have no KM3NeT institutional power or responsibility.
- To ensure enough knowledge of and experience with environmental or ombuds issues, external experts should have a seat in the Ethics Committee.
- To enhance the awareness of and the commitment to the Code of Conduct, all Collaboration members (existing and newcomers) should sign for compliance with the Code.
- External users of the KM3NeT RI should sign for compliance with the Code.
- To keep the Code of Conduct up-to-date, it is necessary to check and if need be to renew the Code of Conduct and Ethical Behaviour every 3-5 years.
- An annual web-based survey can serve as a nice tool to follow the professional wellbeing of Collaboration Members.



- Newcomers in the Collaboration have to be informed about the Code of Conduct and Ethical Behaviour and the Guidelines in case of inappropriate conduct in KM3NeT. This should be done by the Spokesperson in an introductory, welcoming email.
- Exchange experience and best practices with other large scale (astro)physics collaborations such as IceCube and the LHC experiments.
- For exchange of best practices, present experience with the development, execution and maintenance of the KM3NeT Code of Conduct and Ethical Behaviour at dedicated sessions of conferences such as ICRC, Neutrino, IHEP and EPS-HEP and possibly on the MANTS and VLVnT Workshops of the GNN.



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