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Policy for Equality, Diversity and Inclusion (EDI) in KM3NeT

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Abstract

In this report, the design and implementation process is presented of a five-year *Policy for Equality, Diversity and Inclusion (EDI) in KM3NeT*. The EDI-policy comprises deliverable D5.2 of the KM3NeT-INFRADEV project - a Gender Equality Plan for KM3NeT - but addresses more aspects of EDI than gender equality only. Recommendations for ensuring sustainability of the policy are formulated. The formal EDI-Policy document is a KM3NeT internal policy document. The report is a restricted version for public dissemination. This is indicated where relevant.



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DELIVERY SLIP

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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)
EDI	Equality, Diversity and Inclusion
ESFRI	European Strategy Forum on Research Infrastructures
GEP	Gender Equality Plan



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GNN	Global Network of Neutrino telescopes
IB	Institutiones Board (KM3NeT governing body)
PMB	Project Management Board of the KM3NeT-INFRADEV project
PSC	Project Steering Committee (KM3NeT Committee of working group leaders)
RI	Research Infrastructure
STEM	Acronym for Science, Technology, Engineering and Mathematics
LHBTQ+	Acronym for sexual orientation

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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 (WP5).



EXECUTIVE SUMMARY

Development of an EDI-Policy 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. In this report the process is described of designing and implementing a *Policy for Equality, Diversity and Inclusion (EDI) in KM3NeT*, which includes deliverable D5.2¹, but is broader in its ambition. Key in the process of designing the EDI-Policy was the early consultation and inclusion of the KM3NeT Collaboration as a whole in order to achieve broad acceptance.

Already at the plenary kick-off during the Collaboration meeting in February 2017, it became clear that early-career scientists were eager to get better organised and to have a voice in the governance of the Collaboration. In addition, a dedicated WP5/EDI-task group of KM3NeT scientists with the mandate to support the work for Task 5.2 of WP5 (Annex 2) recommended broadening the scope of the deliverable D5.2 to a more general EDI-Policy taking into account more aspects of equality than gender only and to strengthen the position of early career scientists in the Collaboration. The latter is also part of Task 5.3 of WP5 to investigate the potential impact of KM3NeT on human capacity which requires continuous effort to provide the KM3NeT doctoral and young postdoctoral students with skills for a successful professional career in academia or elsewhere².

Regular progress reports by the WP5 leaders at the IB-meetings and the support expressed by the KM3NeT management at the plenary session of the Collaboration meetings and the WP5-report on the INFRADEV&KM3NeT Joint Meeting in June 2018 ensured the transparency of the process towards a well-accepted, supported and already implemented EDI-policy for KM3NeT.

Acceptance of the EDI-Policy for KM3NeT

Together, this led in October 2018 to the acceptance by the Institute Board (IB) of a five-year Policy for EDI in KM3NeT with measurable performance indicators and with the obligation to install a Committee for EDI reporting to the Management Team; and the obligation to install two early-career scientists, elected by their peers, in the Institute Board. Annex 1 comprises a copy of the first pages of the policy.

The EDI-Committee

The mandate of the EDI-Committee is (i) to advice the KM3NeT management on EDI-issues; (ii) to monitor the effectiveness of the KM3NeT EDI-Policy; (iii) to be available for first-line advice in case of inappropriate scientific behaviour or social misbehaviour of people in the KM3NeT Collaboration;

¹ D5.2 – A Gender Equality Plan for KM3NeT

² D5.3 – Human Capacity Building in KM3NeT, Recommendations for assessing the Impact of KM3NeT on the professional careers of its alumni



(iv) to organise three times per year plenary EDI-sessions at the Collaboration meetings addressing not only EDI-issues, but also issues relevant for the professional development of early-career scientists in KM3NeT and beyond and (v) to annually report to the Management Team (MT). The members of the EDI Committee are appointed by the MT of KM3NeT for a term of two years. Both are senior KM3NeT scientists, one women and one man, from institutes in different countries³.

Implementation of the EDI-Policy

Following its acceptance, the KM3NeT Management Team and the Institute Board charged the WP5 leaders to start its implementation and the following milestones were met:

- (i) The KM3NeT MT installed the first EDI-Committee in March 2019. Together with the Committee an internal protocol was developed for handling and filing complaints and guidelines for the Collaboration on how to handle in cases of scientific and social misbehaviour.
- (ii) The first election of representatives of early-career scientists in the IB took place in April 2019. The two elected representatives took part in two IB meetings in 2019 and organised themselves by setting up the Early-Career Scientist (ECS) group in KM3NeT. These two representatives will be responsible for the election in 2020. To this end, the protocol and tools for elections developed by WP5 have been handed over.
- (iii) Together with the EDI-Committee, the first EDI-session was organised during the Collaboration meeting in June 2019 in Nantes. At the EDI-session, the EDI-Committee was introduced to the Collaboration and the new early-career scientists in the IB presented themselves.
- (iv) Together with the EDI-Committee a web based survey on the professional wellbeing in the KM3NeT Collaboration was conducted in September 2019. This resulted in a confidential report with recommendations for the KM3NeT Management Team.
- (v) The second EDI-session took place on 8 October 2019 at the Collaboration meeting in Warsaw and was dedicated to professional wellbeing in KM3NeT.

Beyond the end of the KM3NeT-INFRADEV project, it is the responsibility of the Collaboration to continue with the execution of the EDI-Policy. To this end, the mandate of the EDI-Committee and the election of early-career scientists in the IB is included in the new draft Memorandum of Understanding of KM3NeT.

Communication about the EDI-Policy

Several communication tools were implemented:

- (i) The 'Policy for Equality, Diversity and Inclusion in KM3NeT' (Annex 1) has been made available to all participants in the Collaboration and will be included in the 'Starter's kit for newcomers in the Collaboration'.

³ The members of the 1st EDI-Committee are from institutes in Greece and Australia.



- (ii) A publication of a statement on diversity and inclusion has been published at the KM3NeT website⁴.
- (iii) The Code of Conduct and Ethical Behaviour is publicly available on the KM3NeT website⁵. Also the Code will be included in the above mentioned 'Starter's kit for newcomers'.
- (iv) A functional email account for the EDI-Committee was established (phase1-edi@km3net.de). The account is included in the internal wiki-pages and mentioned on the public website of KM3NeT.
- (v) Internal KM3NeT wiki-pages have been setup to keep the Collaboration up-to-date on activities of the EDI-Committee and to provide the Collaboration with internal or external information on EDI-issues. The full EDI-Policy is available for consultation together with a FAQ, a copy of the '*Code of Conduct & Ethics behaviour*' of KM3NeT and '*Guidelines in case of inappropriate conduct in KM3NeT*'. The EDI-Policy and the Guidelines are considered confidential internal documents.

Finalising involvement of WP5 leaders

For all activities mentioned above, the WP5 leaders took the initiative. They were supported by a dedicated task group of KM3NeT scientists and external diversity officers during the design of the EDI-policy (Annex 2). During implementation of the EDI-Policy they worked together with the EDI-Committee until the end of their mandate in December 2019 to ensure a firm start of the implementation and execution of the EDI-Policy in KM3NeT.

Recommendations

Recommendations for a sustainable EDI-Policy for KM3NeT are formulated below. A summary of all recommendations in this report is presented in Annex 6.

Confidentiality

This report is a restricted version of the full report. Where appropriate, confidential information is removed. This includes the full version of the formal KM3NeT Policy for Equality, Diversity and Inclusion. In Annex 1 only the first pages of the policy are shown. Interested parties may contact the KM3NeT management or Institute Board for information. Contact credentials can be found at the public KM3NeT website at km3net.org.

⁴ <https://www.km3net.org/about-km3net/diversity-in-km3net>

⁵ <https://www.km3net.org/about-km3net/code-of-conduct-and-ethical-behaviour/>



RECOMMENDATIONS for the sustainability of the EDI-Policy in KM3NeT

- Actively monitor performance indicators at the occasions of Collaboration meetings and build evidence for inclusiveness and diversity of the KM3NeT Collaboration.
- Make the membership of the EDI-Committee a service task for the Collaboration as a recognition for the importance of the task which, however, is not directly related to performing physics research with KM3NeT.
- Actively seek collaboration with other large scale experiments and research infrastructures for the exchange of good practices.
- Actively report at conferences on the (effect of) the KM3NeT EDI-Policy to share knowledge and to underline the commitment for an inclusive working environment in KM3NeT.
- Actively support (on-line) international diversity and inclusion events such as the International Day of Women, Girls in Science or the IUPAP International Conference on Women in Physics.



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I. Introduction

This document comprises the report on the implementation of a *Policy for Equality, Diversity and Inclusion in KM3NeT*, which is one of the deliverables (D5.2) of the KM3NeT-INFRADEV project. The first pages of the formal policy document can be found in Annex 1. As stated in the preamble of the EDI-Policy document, equality, diversity and inclusion (EDI) are intimately related aspects of good practice in a working environment. They include elimination of discrimination, harassment and victimization; the advancement of equality of opportunity and the fostering of good relations between different people in the organisation. Within the constraints of a relatively loosely organised scientific environment without its own personnel and one that is dependent on funding and diversity policies of its partners, KM3NeT has adopted a five-year policy to address monitoring, improvement and sustainability of EDI in the Collaboration. Performance Indicators are defined in relation to binary m/f gender, (scientific) seniority and country of the 'home' institute; the latter as an approximation of the diversity in cultural background. A Committee for EDI in KM3NeT has been installed to advise the management on EDI-issues and to be available as a first-line ombuds-contact for advice in cases of inappropriate scientific behaviour or social mis-behaviour of people in the Collaboration. The EDI-Committee organises plenary sessions at each Collaboration meeting addressing EDI-issues, but also issues that are important for the professional development of early-career scientists preparing for a career beyond KM3NeT in academia or elsewhere. The various steps taken toward the implementation of the EDI-Policy 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 a sustainability EDI-policy in KM3NeT.



II. Methodology

Surveys

Personal privacy and monitoring

The WP5 leaders explored the possibilities for collecting and storing personal data for monitoring purposes. After participation in a conference on the new European Privacy Legislation organised by the Dutch ministry and consultation of legal experts at VU University Amsterdam on storing and using privacy-sensitive data, it turned out to be difficult to collect personal data without violating the rules of the European Privacy Legislation. Hence, the Institute Board did not endorse the storage of personal data. Consequently, the choice for indicators for monitoring the performance of the EDI-policy was limited to those that could be measured or estimated from public data and only aggregated data were collected.

During the KM3NeT-INFRADEV project, several surveys were conducted:

- *The diversity in the KM3NeT Collaboration.* To estimate and monitor diversity in the KM3NeT Collaboration several sources were analysed: the author list of two KM3NeT publications in refereed journals; the participants lists of the KM3NeT Collaborations; the group pictures taken each Collaboration meeting; the lists of KM3NeT speakers at conferences and the Organisation Breakdown Structure (OBS) published at the KM3NeT website. It is important to note that the numbers are estimates from counting manually and that statistics is low. They are not shown in this restricted version of the full report.
- *Implemented Gender Equality Plans (GEPs) and/or Diversity Policies within the community of large scale (astro)particle experiments* (see Annex 4). An informative meeting with the EDI-officers of the LHCb Collaboration was organised and one of the WP5 project leaders participated in the GENERA International Gender in Physics Day, organised in January 2017 at CERN. Also the conference reports of the LHC experiments at the IHEP and EPS-HEP Conferences for High Energy and Particle Physics were studied.
- *GEPs and/or Diversity Policies of partners and institutes in the KM3NeT Collaboration.* To investigate which policy programmes for gender equality or diversity were established in the Institutes of KM3NeT, WP5 conducted a survey among a selected number of group leaders. Most groups in the survey were embedded in the physics department of a university. It turned out that in several cases the group leaders were not aware of the details of the diversity policies of the university. In that sense, the survey raised awareness, but generally the survey did not provide information useful for a KM3NeT EDI-Policy.



RECOMMENDATIONS for the methodology of monitoring EDI in KM3NeT

- Regularly monitor the status of diversity in KM3NeT for early recognition of trends, preferably at the occasion of Collaboration meetings.
- Be aware of the consequences of the EU General Data Protection Regulation 2016/679 on data protection and privacy for individual citizens of the EU and EEA when monitoring or storing personal data of KM3NeT participants.

Support by the Collaboration

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 an EDI-Policy 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 benchmark data about diversity in KM3NeT and examples from the surveys were presented. This triggered a lively discussion and feedback was given, in particular by early-career scientists.
- The KM3NeT IB endorsed the installation of a *task group* with the mandate to draft a diversity policy for KM3NeT. Apart from the two WP5 leaders, the Task group consisted of six senior KM3NeT scientists, two early-career scientists, two external gender equality officers of NWO-I and APC that were also involved in the activities of the European GENERA project⁶. The m/f ration in the Task group was one; six different 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 via videoconference and email. The WP5 leaders were responsible for the full drafting process.
- 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 EDI-policy.
- After a final consultation round among the management, *the IB endorsed the final draft* of the EDI-Policy.

⁶ GENERA - Gender Equality Network in the European Research Area - is a project funded by the European Commission under GRI-4-2014 01 September 2015 - 31 August 2018 grant agreement 665637. Website: <https://genera-project.com/>



- The *Spokesperson* emphasised the importance of the EDI-Policy by mentioning the policy in his general presentation during several Collaboration meetings.
- The *Spokesperson* emphasised the importance of the EDI-Policy by participating in the plenary EDI-sessions during Collaboration meetings.
- The IB endorsed the publication of a *position statement about diversity* on the public KM3NeT website as a public commitment of the Collaboration.
- An internal EDI wiki page was created with *FAQs about the EDI-Policy*. This is a valuable tool to inform new-comers in the Collaboration.

Annex 5 comprises a list of meetings with the Collaboration.

RECOMMENDATION for successful acceptance of an EDI-policy

- Create a support base at all levels of the Collaboration to realise a sustainable EDI-policy.
- Repeatedly remind people in the Collaboration at all levels of the existence of the EDI-policy and the consequences of the policy on activities and measures in the working environment of the KM3NeT Collaboration.

III. The KM3NeT EDI-Policy

The *Policy for Equality, Diversity and Inclusion in KM3NeT* is considered an internal KM3NeT policy document and is confidential. Below, the most important ingredients are summarised.

Objectives and KPIs

As explained in the EDI-Policy document, when applying notions of Equality, Diversity and Inclusion to the community of the KM3NeT Collaboration, one has to keep in mind that the people in the Collaboration are employed by different national organisations or funded from different (inter)national projects, each with their own constraints, rules and/or legislations. In addition, the investment funding for building, operating, maintaining and decommissioning the detectors of the KM3NeT observatory will put constraints on the diversity in its governance and executive management. Usually, and to some extent logically, funding authority expects their 'own' people to be assigned visible leadership positions in relation to their share of investment. However, creating a welcoming and safe working environment to all and enhancing the individual awareness of unconscious bias against the existence of inequality is a matter of fairness and decency and is worth working on.

The EDI-Policy of KM3NeT addresses diversity in three major areas: diversity among the people in the Collaboration, diversity in the governance and executive management of the Collaboration,



diversity in the Publication Committee and the Conference Committee and among special duty officers. For each of these areas KPIs have been formulated and targets for the year 2024 has been set and include numbers for:

- Percentage of women at all positions in KM3NeT, in particular at leadership positions.
- Percentage of early-career scientists among the working group leaders.

It is important to realise that statistics is limited to the participants of KM3NeT. Hence, percentages may fluctuate strongly.

Role of the MT and the IB

In the EDI-Policy, the responsibility and accountability of the KM3NeT governing Institute Board (IB) and executive management team (MT), notably the Spokesperson of the Collaboration, are explicitly defined. The IB endorses the contents of the EDI-Policy, defines the performance indicators and sets their target values. The MT takes measures to successfully execute the EDI-Policy. In the selection of candidates for leadership positions both the MT and the IB take care for transparent procedures with equal level playing field for all. The current EDI-Policy is valid for the time-span 2019-2024. It is the responsibility of the IB and MT to timely decide about prolongation and/or update of the Policy beyond this period.

The EDI-Committee

Following the endorsed EDI-Policy and to support its implementation the KM3NeT management team has established the EDI-Committee of two 'diversity officers', one man and one woman, both senior members of the Collaboration and employed by an organisation in different countries⁷. The mandate of the committee is:

- To give advice to the KM3NeT management team on diversity and inclusion matters.
- To be available for advising colleagues in cases of bullying, harassment or other inappropriate conduct in the Collaboration. For this, the EDI-Committee has developed an internal protocol.
- To monitor the progress in diversity and inclusion in the Collaboration.
- To organise a plenary session at each Collaboration meeting to discuss EDI-issues of diversity and for early-career scientists matters of improving skills for a professional career beyond KM3NeT, in academia or elsewhere.
- To annually report to the KM3NeT management and IB the status of diversity in the Collaboration.

⁷ In the first EDI-committee, members come from institutes in Greece and Australia.



RECOMMENDATION for recognition of the members of the EDI-Committee

To emphasise the importance of the EDI-Committee, its membership should be considered a Collaboration service task. Such a recognition will assign status to the membership of the committee.

Monitoring EDI

The KM3NeT EDI-Policy is valid for the time period 2019-2024. Target values for the performance indicators are defined to be reached latest in 2024. It is the task of the EDI-Committee to monitor diversity and inclusion in the Collaboration and annually report the results to the KM3NeT management team.

In order to get an idea of the diversity in the KM3NeT Collaboration a survey was conducted in January 2017. The results revealed an estimated percentage of about 18% women and about 40% early-career scientists in the author list of a paper published in December 2016. The KM3NeT Organisation Breakdown System (OBS) in 2017 showed about 17% women and about 3% early-career scientists among the leadership positions. The distribution of nationalities among the authors mirrored more or less the distribution of the level of financial participation of the KM3NeT Parties. These numbers form the point of reference for monitoring the success of a future EDI-Plan for KM3NeT. A second survey was conducted using the author list of a paper that was published in January 2019.

In addition to these two analyses, during the INFRADEV project other sources were used of information to analyse diversity in the KM3NeT Collaboration (see above in the section 'Methodology'). The results which are considered public data are shown in Annex 3. Figure 1 shows the growth of the KM3NeT Collaboration and its diversity. The number of Institutes in the Collaboration, including those with observer status, increased from 41 in 2013 to 62 in 2019. The number of countries involved in KM3NeT increased from 9 in 2013 to 18 in 2019. And finally, the number of continents where the KM3NeT Institutes are located increased from 1 (Europe) to 4 in 2019. Analysis of the participants lists of the KM3NeT Collaboration meetings revealed that the percentage of women participating remained constant at a level of about 20% between 2013 and 2019. Organisation Breakdown Structures (OBS) of KM3NeT show that the percentage women in leadership positions grew from 14% in 2014 to 20% in 2019 (Figure 2).



RECOMMENDATIONS for monitoring EDI in the KM3NeT Collaboration

- (One of) the EDI-Committee members should attend the meetings of the Project Steering Committee (PSC) of working group leaders. This to maintain diversity awareness, in particular when decisions for new working group leaders are being prepared.
- When possible, the EDI-Committee should meet with (early-career) scientists leaving the Collaboration for an exit-interview. This to collect anonymous information about the choices made by early-career scientists for a career beyond KM3NeT. Documentation of the choices made by KM3NeT scientists when leaving the Collaboration will give documented insight of the impact of KM3NeT on human capacity building. Include the anonymous information in the annual report for the KM3NeT management.
- The EDI-Committee should regularly meet with the network of Early Career Scientist (ECS) in the Collaboration to get informed about their ideas for improvement of EDI in the Collaboration.
- When possible, the EDI-Committee should meet with newcomers in the Collaboration for an entry-interview. This to inform the new-comers about the Code of Conduct and Ethical Behaviour and the EDI-Policy of the Collaboration and collect anonymous information about the reasons why they chose for KM3NeT for the next step in their career. Documented information of the reasons why people chose to join KM3NeT will give insight in the attractiveness of the Collaboration. Include the anonymous information in the annual report for the KM3NeT management.
- Together with the Conference Committee, the EDI-committee should monitor the diversity among invited/key note speakers at the major conferences, the diversity in the conference committees and the diversity among parallel session convenors. Knowledge of these statistics could be shared in contacts with other (astro)particle physics collaborations. Include the results in the annual EDI-report to the KM3NeT management.
- For each Collaboration meeting, the EDI-Committee should monitor the percentage of women and early career scientists among convenors/speakers/participants. For this also the group pictures are a useful source.
- The Conference Committee should monitor the number of women and early career scientists and the country of the Institute involved among the KM3NeT speakers at conferences (or poster presentations).
- The Publication Committee should monitor the number of women and early career scientists and the country of the Institute involved among the KM3NeT author list of each publication in a refereed journal.

Communication

Internal KM3NeT wiki-pages have been setup to keep the Collaboration up-to-date on activities of the EDI-Committee and to provide the Collaboration with internal or external information on EDI-issues. At this page, the full EDI-Policy is available together with a FAQ and a copy of the '*Code of Conduct & Ethics behaviour*' of KM3NeT and '*Guidelines in case of inappropriate conduct in KM3NeT*'. The EDI-Policy and the Guidelines are considered internal documents. The Code of Conduct and



ethical behaviour is publicly available on the KM3NeT website. The Code of Conduct and the Guidelines were presented to the participants of the Collaboration meeting in June 2019 in Nantes. With the introduction of the EDI-sessions, the people of the KM3NeT Collaboration will be remembered of the EDI-policy, three times per year during each Collaboration meeting.

For external communication, scrutiny of the text and pictures on the KM3NeT website on inclusion will continue. On social media, the Collaboration participated in the celebration of the UN International day of Women and Girls in Science on 11 February 2018 and 2019 with a short video introducing women in KM3NeT. The participation in this event (next edition 11 February 2020) will continue. New will be the participation in the International day of LGBTQ+ people in STEM (next edition 5 July 2020).

RECOMMENDATIONS for Communication about EDI in the KM3NeT Collaboration

- Exchange experience and best practices with other large scale (astro)physics collaborations such as IceCube and the LHC experiments.
- Present the KM3NeT EDI-Policy at dedicated sessions of conferences such as ICRC, Neutrino, IHEP and EPS-HEP and possibly on the MANTS and VLVnT Workshops of the GNN.
- Continue scrutinising pictures and text on the KM3NeT public website for EDI.
- Be aware of EDI issues while using the social media and material for education about KM3NeT.

Elections of early-career scientists in the KM3NeT IB

The first election of two early-career scientists in the KM3NeT IB has been organised by the WP5 working group leaders. From now on, it is the responsibility of the early-career scientists to organise the annual election each spring. The schedule, protocol and tools used by WP5 for the initial elections in 2019 have been transferred to the then elected early-career IB members for use in next elections. After their election, the two representatives set up regular meeting of the Early Career Scientists (ECS). This has already resulted in practical activities and proposals to the agenda of the Institute Board.

RECOMMENDATION for the election of early scientists in the KM3NeT IB

Although the election are the responsibility of the early-career community in KM3NeT, it is recommended that the IB monitors whether the annual elections are indeed taking place. This, because early-career students and postdocs work on short-term temporary contracts and contacts can be easily lost.



Annex 1 – Policy for EDI in KM3NeT

Copy of the front-page and table of contents of the formal document. **The full document is an internal KM3NeT document and is confidential.**



Policy for Equality, Diversity and Inclusion in KM3NeT

Endorsed by the KM3Net Institutes Board on 23 October 2018

2 July 2019 – Policy for Equality, Diversity and Inclusion in KM3NeT



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Annex 2 – INFRADEV task group

Table 1 Members of the Task Group for the work of Task 5.2 in WP5.

Name	Affiliation	Position in KM3NeT
G. Anton	ECAP, FAU	Professor, Senior member of KM3NeT
C. Epitalon	APC, University Paris Diderot	External advisor
N. de Graaf	Nikhef	INFRADEV/WP5 leader
S. Hesping	NWO-I	External advisor
J. Hofestädt	ECAP, FAU	KM3NeT postdoc
E. Koffeman	Nikhef, University of Amsterdam	Professor, senior member of KM3NeT (Former Technical project manager)
A. Margiotta	INFN/University of Bologna	Professor, senior member of KM3NeT
Ch. Markou	NCSR-D, Athens	Senior member of KM3NeT, Chair of IB
K. Melis	Nikhef, University of Amsterdam	KM3NeT PhD student
V. Van Elewyck	APC, University Paris-Diderot	Professor, senior member of KM3NeT, Chair of Publication Committee
E.de Wolf	Nikhef	Senior member of KM3NeT, Committee Chair
J. Zornoza	IFIC, University of Valencia	Senior member of KM3NeT



Annex 3 – Diversity in KM3NeT

At the start of the WP5/INFRADEV project and during Summer 2019 a survey was conducted to get an idea of diversity in KM3NeT. The surveys were hampered by a lack of registered personal data. Instead, the author lists of two publications in refereed scientific journals were examined and approximate numbers were estimated. In parallel the trend of diversity on the group pictures taken during Collaboration meetings was examined. Since statistics is low, in this restricted version of the document not all results are shown.

Figure 1 Growth of the cultural background in the KM3NeT Collaboration : Number of Institutes (including those with observer status) (blue), Number of countries (orange) and Number of continents (grey) as function of the date of entrance in the Collaboration.

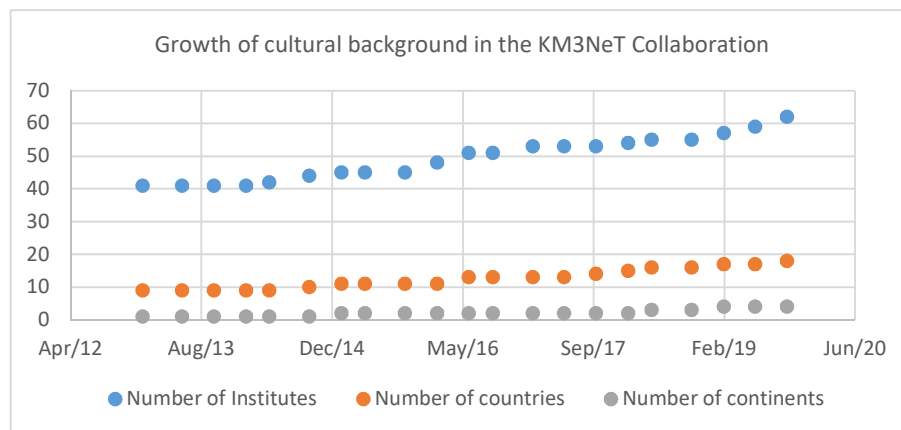
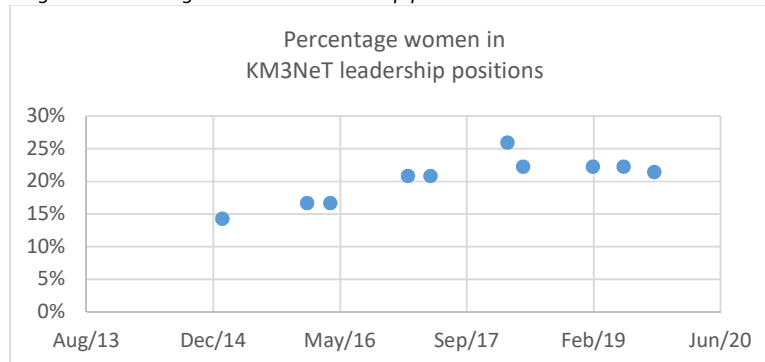


Figure 2 Percentage women on leadership positions in the KM3NeT Collaboration.



Annex 4 – Diversity programs of other large scale (astro)particle physics collaborations

Table 2 Diversity program of other large scale (astro)particle physics collaborations and funding organisations.

LHCb	https://lhcb.web.cern.ch/lhcb/ECGD_Office/ECGD-intro.html	This is the model that WP5 has chosen for the EDI-policy of KM3NeT
IceCube	https://icecube.wisc.edu/about/diversity	
ATLAS	https://atlas.cern/discover/collaboration	
CERN	http://diversity-and-inclusion.web.cern.ch/about/cern-diversity-policy	
APPEC	https://jenas-2019.lal.in2p3.fr/diversity-charter-and-survey/	Charter for diversity in astroparticle physics collaborations. With its EDI-policy KM3NeT complies with the charter.



Annex 5 –Meetings

Apart from regular internal WP5-progress meetings, the status and progress of the work of WP5-Task 5.2 has been presented to the KM3NeT Collaboration at various occasions for feedback during the implementation of the EDI-Policy for KM3NeT.

Table 3 Meetings related to the development and implementation of the EDI-Policy of KM3NeT.

Date	Type	Location	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
2018-02-06	Kick-off meeting Task group for task 5.2	Rabat	11
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	1 st EDI-Session	Nantes	85
2019-10-08	2 nd EDI-Session	Warsaw	70



Annex 6 – Summary of recommendations

Summary of the recommendations in this document:

RECOMMENDATIONS for the sustainability of the EDI-Policy in KM3NeT

- Actively monitor performance indicators at the occasions of Collaboration meetings and build evidence for inclusiveness and diversity of the KM3NeT Collaboration.
- Make the membership of the EDI-Committee a service task for the Collaboration as a recognition for the importance of the task which, however, is not directly related to performing physics research with KM3NeT.
- Actively seek collaboration with other large scale experiments and research infrastructures for the exchange of good practices.
- Actively report at conferences on the (effect of) the KM3NeT EDI-Policy to share knowledge and to underline the commitment for an inclusive working environment in KM3NeT.
- Actively support (on-line) international diversity and inclusion events such as the International Day of Women, Girls in Science or the IUPAP International Conference on Women in Physics.

RECOMMENDATIONS for the methodology of monitoring EDI in KM3NeT

- Regularly monitor the status of diversity in KM3NeT for early recognition of trends, preferably at the occasion of Collaboration meetings.
- Be aware of the consequences of the EU General Data Protection Regulation 2016/679 on data protection and privacy for individual citizens of the EU and EEA when monitoring or storing personal data of KM3NeT participants.

RECOMMENDATION for successful acceptance of an EDI-policy

- Create a support base at all levels of the Collaboration to realise a sustainable EDI-policy.
- Repeatedly remind people in the Collaboration at all levels of the existence of the EDI-policy and the consequences of the policy on activities and measures in the working environment of the KM3NeT Collaboration.

RECOMMENDATION for recognition of the members of the EDI-Committee

To emphasise the importance of the EDI-Committee, its membership should be considered a Collaboration service task. Such a recognition will assign status to the membership of the committee.

RECOMMENDATIONS for monitoring EDI in the KM3NeT Collaboration

- (One of) the EDI-Committee members should attend the meetings of the Project Steering Committee (PSC) of working group leaders. This to maintain diversity awareness, in particular when decisions for new working group leaders are being prepared.
- When possible, the EDI-Committee should meet with (early-career) scientists leaving the Collaboration for an exit-interview. This to collect anonymous information about the choices made by early-career scientists for a career beyond KM3NeT. Documentation of the choices made by KM3NeT scientists when leaving the Collaboration will give documented insight of the



- impact of KM3NeT on human capacity building. Include the anonymous information in the annual report for the KM3NeT management.
- The EDI-Committee should regularly meet with the network of Early Career Scientist (ECS) in the Collaboration to get informed about their ideas for improvement of EDI in the Collaboration.
 - When possible, the EDI-Committee should meet with newcomers in the Collaboration for an entry-interview. This to inform the new-comers about the Code of Conduct and Ethical Behaviour and the EDI-Policy of the Collaboration and collect anonymous information about the reasons why they chose for KM3NeT for the next step in their career. Documented information of the reasons why people chose to join KM3NeT will give insight in the attractiveness of the Collaboration. Include the anonymous information in the annual report for the KM3NeT management.
 - Together with the Conference Committee, the EDI-committee should monitor the diversity among invited/key note speakers at the major conferences, the diversity in the conference committees and the diversity among parallel session convenors. Knowledge of these statistics could be shared in contacts with other (astro)particle physics collaborations. Include the results in the annual EDI-report to the KM3NeT management.
 - For each Collaboration meeting, the EDI-Committee should monitor the percentage of women and early career scientists among convenors/speakers/participants. For this also the group pictures are a useful source.
 - The Conference Committee should monitor the number of women and early career scientists and the country of the Institute involved among the KM3NeT speakers at conferences (or poster presentations).
 - The Publication Committee should monitor the number of women and early career scientists and the country of the Institute involved among the KM3NeT author list of each publication in a refereed journal.

RECOMMENDATIONS for Communication about EDI in the KM3NeT Collaboration

- Exchange experience and best practices with other large scale (astro)physics collaborations such as IceCube and the LHC experiments.
- Present the KM3NeT EDI-Policy at dedicated sessions of conferences such as ICRC, Neutrino, IHEP and EPS-HEP and possibly on the MANTS and VLVnT Workshops of the GNN.
- Continue scrutinising pictures and text on the KM3NeT public website for EDI.
- Be aware of EDI issues while using the social media and material for education about KM3NeT.

RECOMMENDATION for the election of early scientists in the KM3NeT IB

Although the election are the responsibility of the early-career community in KM3NeT, it is recommended that the IB monitors whether the annual elections are indeed taking place. This, because early-career students and postdocs work on short-term temporary contracts and contacts can be easily lost.

