

LSST:UK Consortium Professional Conduct Policies¹

v1.1

Approved by the Consortium Board on 2018-09-10

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¹ This document is based on the *LSST DESC Code of Conduct* (v1.1). Following the example of that document, it is *licensed for re-use according to Creative Commons CC0 1.0* (<https://creativecommons.org/publicdomain/zero/1.0/>).

LSST:UK Code of Conduct

The LSST:UK Consortium is a large collaboration with members from diverse backgrounds. We strive for an inclusive and respectful environment for collaboration members independent of their background, age, and stage or path of career. Consortium members should pay particular attention to interactions with students and postdoctoral researchers.

Discrimination

Members of LSST:UK should treat each other with equity and respect, regardless of personal attributes including but not limited to: (alphabetically) age, disability, ethnicity, gender, gender expression, gender identity, lactation, nationality, physical appearance, political affiliation, pregnancy, race, religion, sexual orientation, and status as a caregiver (including as a parent).

Harassment

LSST:UK does not tolerate verbal, non-verbal or physical harassment of any kind. Behaviours and language acceptable to one person may not be to another. Members must make every effort to ensure that words and actions communicate respect for others. In particular, sexual harassment is not tolerated in LSST:UK, including, but not limited to, inappropriate verbal and physical conduct, unwelcome sexual advances, and requests for sexual favours.

Bullying

Bullying in any form, including, but not limited to, physical bullying, verbal abuse, disparagement, intimidation, exclusion, spreading personal rumours, is not tolerated in LSST:UK.

Scientific Misconduct

Members of the Consortium must perform research in a well-documented and ethically sound manner. Falsification of data or results, plagiarism, violations of the terms of the LSST:UK Memorandum of Agreement with LSST Corporation, taking credit for others' work or any other scientific misconduct will not be tolerated. Members are expected to be familiar with, and abide by, their home institution's codes and policies on good research practice/research integrity and research misconduct. Any allegations of research/scientific misconduct may be referred to the member's employing institution for investigation.

LSST:UK Meetings

When LSST:UK members come together in person for meetings, the Code of Conduct does not change, although some aspects of it become more relevant. The Meeting Code of Conduct highlights considerations related to professional behavior and communications. All attendees at LSST:UK-sponsored meetings must agree to the Meeting Code of Conduct at registration. LSST:UK in-person meetings will have two Meeting Contact Persons to support compliance with the Meeting Code of Conduct. The role and function of the Meeting Contact Persons is outlined in the LSST:UK Meeting Contact Person Policy.

Implementation

All LSST:UK members are expected to abide by this Code of Conduct; in particular, the award of Affiliate PI or Junior Associate status will be contingent on agreement to its terms. LSST:UK members are granted membership privileges at the discretion of the LSST:UK Consortium Board, and such privileges may be revoked by the Board, or its delegates, upon reasonable grounds, including but not limited to violations of this Code of Conduct.

Any member of LSST:UK with a concern about a violation of the Code of Conduct for LSST:UK-related work may make a formal complaint to the LSST:UK Consortium Board Chair or Deputy Chair or, if unsure of whether they wish to do so, may contact one of the LSST:UK Ombudspersons for confidential consultation under the LSST:UK Ombudsperson Policy.

In the case of a formal complaint, the LSST:UK Consortium Board Chair or Deputy Chair will designate two members of the Executive Group to hear both sides of the complaint, and if appropriate, consult witnesses. The LSST:UK Consortium Board Chair and Deputy Chair are responsible for ensuring the timely resolution of any formal complaints. If the grievance process could affect normal working group activities, relevant working group convenors will be notified of the investigation in confidence. If the complaint is upheld, the Consortium Board will have a range of actions at their disposal to remedy the situation, up to and including removal of Affiliate PI (AP) or Junior Associate (JA) status. In addition, the Consortium Board reserves the right to remove AP or JA status without formal investigation based on sanction or censure by the member's department, institution, or professional society for activity that constitutes a violation of the LSST:UK Code of Conduct or places LSST:UK members at risk. The Consortium Board will communicate the outcome of any investigation only to the complainant(s), the respondent(s) and working group convenors (if relevant).

If the Code of Conduct violation relates to the Consortium Board Chair or Deputy, the Project Leader, Project Scientist or a member of the Executive Group, this should be reported to any member of the Consortium Board. The Consortium Board will then convene an independent committee who will be afforded the power to investigate and make recommendations to the Consortium Board for resulting actions.

Retaliation toward a member who pursues any of these options, or toward anyone assisting either in the Ombuds process or in the investigation of a formal complaint, is a violation of this Code.

In no circumstance does the LSST:UK Code of Conduct supplant laws or institutional policies or requirements to which members of LSST:UK or home institutions are subject, including reporting requirements these individuals or entities may have. It is understood that LSST:UK members may report allegations of violations to home institutions, government agencies, or local authorities for investigation per applicable laws, regulations, and policies. The LSST:UK Ombudspersons are available for confidential consultation about any LSST:UK-related issue or concern (see the LSST:UK Ombudsperson Policy for further details).

This Code of Conduct shall not be construed as creating any employer-employee, joint venture, partnership, duty, trust, obligation to pay, or other relationship between LSST:UK, member institutions, grantors, funding institutions or agencies, home institutions, or members, including LSST:UK Consortium Board and Executive Group. Although LSST:UK encourages all members to abide by this Code of Conduct, LSST:UK remains a voluntary member body, and members and their affiliated institutions waive any and all claims, liabilities, or damages against LSST:UK, member institutions, grantors, funding institutions or agencies, home institutions, and LSST:UK members involved in implementing the Code of Conduct arising from the enforcement of, or failure to enforce, this Code of Conduct.

LSST:UK Meeting Code of Conduct

The LSST:UK Consortium and the local organizers are committed to conducting meetings that are productive and enjoyable for everyone. LSST:UK will not tolerate harassment of participants in any form and has adopted a Meeting Code of Conduct² (Meeting CoC) as part of the LSST:UK CoC. By attending any LSST:UK meeting you agree to:

- Behave professionally. Exclusionary or offensive comments or jokes related to personal attributes are not appropriate.
 - Personal attributes covered by this policy include but are not limited to (alphabetically): age, disability, ethnicity, gender, gender expression, gender identity, lactation, nationality, physical appearance, political affiliation, pregnancy, race, religion, sexual orientation, and status as a caregiver (including as a parent).
 - Unacceptable behavior includes, but is not limited to, sustained disruption of talks or other events, unwelcome physical contact, sexual attention or innuendo, intimidation, stalking, and recording of an individual without consent. Consent for photography may be assumed only when the subject is giving a talk during an LSST:UK meeting.
- Communicate appropriately. Aim for a professional audience including people of many different backgrounds. Sexual language and imagery are not acceptable.
- Be kind. Do not insult or put down other meeting participants.

All participants are empowered to request that undesirable behavior be stopped. Participants asked to stop any behaviour inconsistent with this Meeting CoC are expected to comply immediately. Each LSST:UK in-person meeting will have two designated Meeting Contact Persons with the authority to take action up to and including requiring an attendee to leave a meeting. The LSST:UK Meeting Contact Person Policy provides details of their role and function. In addition, any participant who wishes to discuss a violation of the Meeting CoC can speak, in confidence, to the Ombudspersons under the LSST:UK Ombudsperson Policy, and/or institute a formal complaint with the Consortium Board Chair or Deputy Chair as outlined in the LSST:UK CoC Implementation section.

² The LSST:UK Meeting CoC is based about the DESC Meeting CoC, which was adapted from the [London CoC](#), itself derived from documents by [Software Carpentry](#), [PyCon](#), and [Geek Feminism](#), all under Creative Commons licenses.

LSST:UK Meeting Contact Person Policy

For each in-person LSST:UK meeting (LSST:UK-sponsored, organized, or funded), two persons are designated as Meeting Contact Persons. Their role is to support compliance with the LSST:UK Meeting Code of Conduct (Meeting CoC) and to take action to resolve harmful situations. In addition, any participant who wishes to discuss a violation of the Meeting CoC can speak in confidence to the Ombudspersons under the LSST:UK Ombudsperson Policy, and/or institute a formal complaint with the Consortium Board Chair or Deputy Chair as outlined in the LSST:UK CoC in the Implementation section.

The Meeting Contact Persons are available to meeting participants who are experiencing conflicts or disputes as part of the LSST:UK meeting activities. The Meeting Contact Person will work together with the participants who consult them to identify options for managing and resolving disputes and conflicts. This includes providing advice and support, and taking action as needed to defuse a harmful situation, up to and including requiring the offender to leave the meeting.

The organisers of each meeting will provide nominations for the Meeting Contact Persons to the Project Manager at the initiation of the meeting planning. The Executive Group will be responsible for ratifying the appointment of the Meeting Contact Persons. The authority to act is afforded to the Meeting Contact Persons by the LSST:UK Consortium Board and is in place throughout all meeting sessions and activities, including informal gatherings.

It may not be possible for both Meeting Contact Persons to be present at all sessions comprising a meeting, but at least one Meeting Contact Person will be present at every plenary session (or equivalent) and both Meeting Contact Persons will be available for consultation on every day of the meeting. They will not be members of Executive Group. They will have a strong understanding of LSST:UK policies, their authority to act as Meeting Contact Persons under these policies, and will report their actions directly to the Consortium Board Chair or Deputy Chair. All Meeting Contact Person decisions are final and not subject to appeal.

LSST:UK Ombudsperson Policy

The LSST:UK Consortium has two Ombudspersons who are available to members of LSST:UK. The role of the Ombudspersons is to provide *informal*, confidential, non-judgmental, impartial, and independent advice and arrange mediation for LSST:UK members for the purposes of dispute resolution. Confidentiality is a privilege of the Ombudspersons and the only circumstances that there may be an exception to confidentiality is if the Ombudsperson is concerned by an imminent risk of serious harm, or if required by law in the applicable jurisdiction to anonymously report credible evidence of fraud, waste, or abuse concerning the use of government funds. As such, communications with an Ombudsperson do not constitute formal notice to LSST:UK or the individual's institute. If the individual would like to start formal proceedings, the Ombudsperson can provide guidance on the LSST:UK process and referrals for institutional processes. The LSST:UK process for *formal* complaints is outlined in the LSST:UK Code of Conduct Implementation section.

There are two LSST:UK Ombudspersons to provide a choice of whom to speak with. The Ombudspersons are available to LSST:UK members who are experiencing conflicts or disputes as part of their LSST:UK activities. The Ombudspersons will work together with the members who consult them to identify options for managing and resolving disputes and conflicts. This includes providing advice and support, referring individuals to appropriate resources, organizing informal mediation, and ensuring that the Consortium Board Chair is made aware of any systemic issues in the consortium.

The Consortium Board appoints the Ombudspersons for a term of 3 years, with the option of renewal. Due consideration will be given to the diversity of the candidates. The LSST:UK Ombudspersons will have a strong understanding of the organizational structure of the consortium. They will not hold any other leadership positions within the consortium and will report only to the Consortium Board Chair. The Ombudspersons will have relevant experience and have undertaken relevant training provided by their home institutions.

Following DESC, LSST:UK has chosen to adopt the role and function of the Ombudsperson as expressed by the International Ombudsman Association³ (with some additions and edits for gender neutrality):

³ See <https://www.ombudsassociation.org/Resources/Frequently-Asked-Questions/What-is-an-Organizational-Ombudsman>

The Organizational Ombudsperson—Role and Function

The primary duties of an organizational ombudsperson are (1) to work with individuals and groups in an organization to explore and assist them in determining options to help resolve conflicts, problematic issues or concerns, and (2) to bring systemic concerns to the attention of the organization for resolution.

An organizational ombudsperson operates in a manner to preserve the confidentiality of those seeking services, maintains a neutral/impartial position with respect to the concerns raised, works at an informal level of the organizational system, and is independent of formal organizational structures. Successfully fulfilling that primary function in a manner consistent with the IOA Standards of Practice requires a number of activities on the part of the ombudsperson while precluding others.

Activities and functions most frequently undertaken by an ombudsperson include, but are not limited to:

- Listens and understands issues while remaining neutral with respect to the facts. The ombudsperson doesn't listen to judge or to decide who is right or wrong. The ombudsperson listens to understand the issue from the perspective of the individual. This is a critical step in developing options for resolution.
- Assists in reframing issues and developing and helping individuals evaluate options. This helps individuals identify the interests of various parties to the issues and helps focus efforts on potential options to meet those interests.
- Guides or coaches individuals to deal directly with other parties, including the use of formal resolution resources of the organization. An ombudsperson often seeks to help individuals improve their skill and their confidence in giving voice to their concerns directly.
- Refers individuals to appropriate resolution resources. An ombudsperson may refer individuals to one or more formal organizational resources that can potentially resolve the issue.
- Assists in surfacing issues to formal resolution channels. When an individual is unable or unwilling to surface a concern directly, the ombudsperson can assist by helping give voice to the concern and/or creating an awareness of the issue among appropriate decision-makers in the organization.
- Facilitates informal resolution processes. An ombudsperson may help to resolve issues between parties through various types of informal mediation.

- Identifies new issues and opportunities for systemic change for the organization. The unique positioning of the ombudsperson serves to provide unfiltered information that can produce insight to issues and resolutions. The ombudsperson is a source of detection and early warning of new issues and a source of suggestions of systemic change to improve existing processes.

What an ombudsperson does not do:

Because of the informal, neutral, confidential and independent positioning of an ombudsperson in an organization, they typically do not undertake the following roles or activities:

- Participate in formal investigations or play any role in a formal issue resolution process
- Serve in any other organizational role that would compromise the neutrality of the ombudsperson role
- Receive notice for the organization
- Make binding decisions or mandate policies
- Create or maintain records or reports for the organization
- Provide representation or legal advice