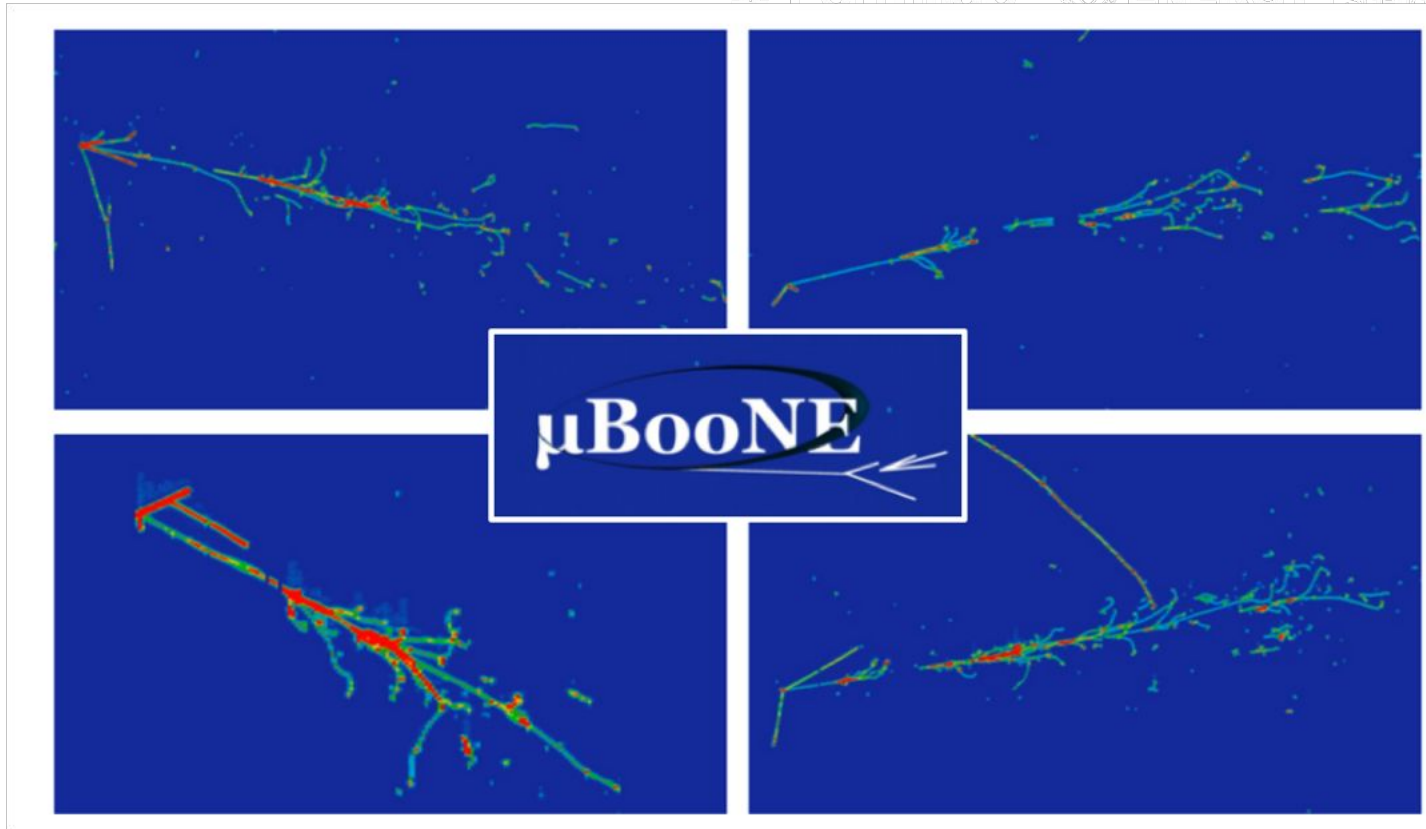


# MicroBooNE Code of Conduct

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Fermilab



# CoC drafting and adoption

- Process
  - Dedicated committee formed to draft documents
    - Senior and early career members
  - Committee gathered input from collaboration
  - Draft presented to Collaboration for feedback
  - Approved by Faculty and Senior Research Scientists, and IB
  - Posted to DocDB, mentioned at the top of most collaboration meetings
  - Collaboration members agree to abide by CoC by virtue of membership
    - Explicit on meeting registrations

# Overview of the MicroBooNE CoC

- Conceived as a two separate documents
  - Statement of principles and values
    - Affirmative statement of collaboration we want
  - System of accountability and administration
    - Reporting avenues and expectations
    - Connections to Fermilab Concerns and Progressive Enforcement
    - Procedures for handling cases
    - Process transparency and accountability
- Status:
  - Completed / adopted the first in 2019
  - Working closely with DUNE and LZ CoC committees in drafting the second

[DocDB-25295](#)  
(Publicly accessible)

MicroBooNE Code of Conduct:  
Statement of Principles and Values

MicroBooNE Collaboration

July 25, 2019

Version 1.0.2

The MicroBooNE Collaboration is committed to fostering an environment in which both science and scientists flourish. We recognize that producing the best science is possible only when we maintain a collaborative, professional, respectful, and inclusive work environment that recognizes the value inherent in the diversity of our members, and that realizes the full potential of our members. This document affirms the principles and values that form the foundation of our conduct and interactions in achieving these goals, and that underlies the success of the Collaboration. Creating a supportive and inclusive work environment that enables productive scientific collaboration is the responsibility of all participants.<sup>[1]</sup>

## 1 Collaboration values and principles

As a collaboration, we adopt and uphold the following values and principles:

# Statement of values and principles

- Aspirational in nature – affirmative statements about the collaboration we want.
- States our commitment to
  - Treating each other with respect
  - Creating a collaborative work environment
  - Supporting work-life balance
  - Holding the highest in professional and ethical standards

Currently no formal accountability mechanisms.

People report informally to Spokes, they take actions.

# CoC accountability

- Challenges in writing CoC accountability
  - How to ensure barriers for reporting are low, while protecting everyone involved
  - How to provide a range of responses commensurate with incidents / infractions
  - How to ensure transparency and accountability of the process
  - How to develop a document / process sufficiently detailed to be effective, not so legalistic that we can't adopt it (probably failing here...)

Committee is actively in the process of modifying the Bylaws and code of conduct document

# Fermilab Concerns Reporting System\*

- Leverage critical features to the maximum extent possible for MicroBooNE CoC
  - Full tracking of incident reports and outcomes
  - Reports investigated by trained subject matter experts
    - Findings and progressive enforcement reported to points of contact specified by MicroBooNE
  - Provides two levels of anonymous reporting
    - One maintains ability to communicate with reporter through anonymous channel
      - Contact information held by third party system administrators, never revealed to Fermilab
    - A second that provides complete anonymity
      - Not even system administrators can identify / communicate with reporter
    - In either case, reviewers can monitor for patterns
  - Prior to submission, reporters provided with list of people to whom report will be routed
    - Reporter has option to exclude people from the list who will be informed of or view the report
    - Does not currently disclose SMEs or experiment contacts

These last two intended to dramatically lower the bar to reporting

\* IntegrityCounts: <https://app.integritycounts.ca/org/fermilab>. (Linked from Fermilab OGC website)

# Design principles of proposed CoC accountability

- Multiple reporting pathways intended to minimize barriers
  - IB members, CoC committee members, Spokes, Fermilab HR partner, third party
    - Not just “up” management chains
  - Ability to accept anonymous reports
    - Fermilab Concerns Reporting System, third party
- Formal processes for severe cases
  - Informal / restorative / transformative solutions for everything else
  - Range of actions possible from warnings up to and including suspension or expulsion
- Interfaces with Fermilab Concerns and Progressive Enforcement processes

# Design principles of proposed CoC accountability

- A standing, dedicated committee to review incidents, recommend remedies
  - Members elected by the collaboration
    - Some seats specifically for and elected by early career scientists
  - Committee has no executive power
    - Recommends actions to Spokes for ratification
    - Spokes must provide written justification for rejecting recommendations
- Tracking of incidents and outcomes
  - Includes tracking of anonymous reports to identify possible patterns
  - History available when recommending actions
  - Used as source for reporting on operation of CoC processes
  - Also post-finding monitoring



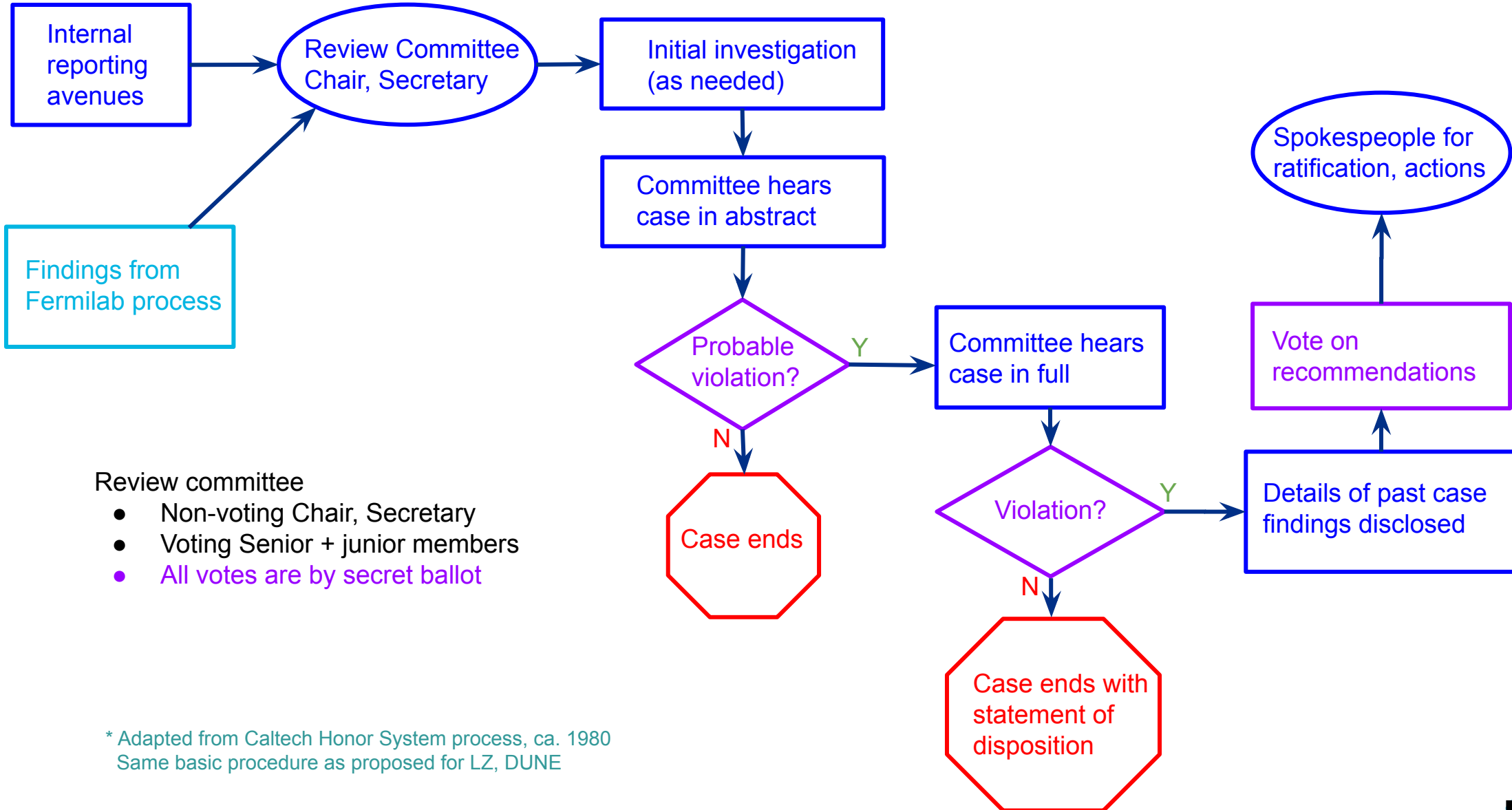
# Design principles of proposed CoC accountability

- Demand accountability for the process itself
  - Periodic reporting of CoC operation to the collaboration
  - Summary of anonymized information and statistics covering all cases handled
  - Periodic review of the CoC and procedures
  - Change things that are not working
- Support within By-Laws and governance documents for the CoC processes

Have been seeking input broadly from the collaboration in developing the system

- Center experience of most vulnerable when considering this input

# Proposed internal procedure for cases\*



## Review committee

- Non-voting Chair, Secretary
- Voting Senior + junior members
- All votes are by secret ballot

\* Adapted from Caltech Honor System process, ca. 1980  
Same basic procedure as proposed for LZ, DUNE

# Scenarios

**How would your collaboration respond to a case of a collaborator who was consistently disruptive during collaboration meetings? How do you imagine this would escalate through your process?**

- Currently - There is a reminder in the beginning of the collaboration meeting to all the participants to abide by the codes of conduct.
- Potentially - But in such a scenario, the COCC would warn the collaborator of their repetitive behavior. If it still persists then the committee can take actions such as temporarily revoke the collaborator's rights to join meetings

# Scenarios

**How would your collaboration respond if a collaborator made inappropriate advances toward other collaborators during a collaboration meeting? Are you able to respond during the meeting if necessary?**

- Any inappropriate behavior will be treated very seriously and COCC will, with the consent of the person affected, make sure that prompt actions are taken
- We would encourage the person to report through the Fermilab reporting system
- The COCC committee will investigate the situation with utmost urgency and take immediate actions to prevent recurrence.
- Potentially - Based on the investigation and case - the collaborator may be suspended from meetings and removed from authorlist

# Scenarios

How would your collaboration respond to a case of sexual assault when the victim will not come forward due to fears of impacting their career? What protections can be afforded in this case? (serious, credible crime)

- The collaboration will have a zero tolerance policy in such a scenario. If such incident happens, we would encourage at least an anonymous report to the Fermilab reporting system.
- Absent the victim or a witness willing to come forward, this case is not actionable

# Scenarios

**How would your collaboration respond to a case of retaliation against someone who made a previous allegation of misconduct? (i.e., person A harms person B, person B reports person A, and person A then retaliates against person B)**

- The person would be encouraged to report the incident of retaliation, and if they did, the committee would investigate and take actions.
- Potentially - after settling the initial case, the committee would follow-up and check-in with the person to see if the resolution worked, and if there were retaliations. This is another way the committee might learn of the incident.

# Scenarios

How would your collaboration respond to a case where a collaborator uses collaboration processes (such as review) to obstruct (e.g. delay indefinitely, or discredit) the work of others.

- If such a case is reported the COCC would investigate and see if it was based on scientific reasoning.
- Potentially - If the decision of the committee shows it was not motivated by science then strong actions may be taken.

# Experience and gaps

- No reporting to Collaboration on operation of CoC at present
  - Will happen once new accountability document is adopted
  - Until then, no information on how many or what types of reports, outcomes, etc.
- Limited interface with Fermilab systems, investigative expertise
- No infrastructure for managing record keeping. (Creating our own)
- No formal support in governance documents for any sanctions
  - Cannot limit, suspend or expel collaborators due to conduct
  - Drafting the necessary language is part of the accountability effort
- No training available for CoC members, or required of experiment leaders
- No guidance as to how to manage legal exposure, or if there is any exposure



***The end***

# *Backup*

# Internal procedure for cases

Follows same basic procedure as DUNE and LZ

- Committee Secretary and Chair take reports
  - All avenues lead to Secretary and Chair
  - Also serve as points of contact with Fermilab process
  - Perform any initial investigation needed
- Present case to committee in abstract
  - Committee votes if probable violation
- If affirmative, committee hears case in full
  - Votes on finding
- If affirmative for violation, past cases disclosed
  - Votes on recommendation
- Recommendation taken to Spokes for ratification
  - If ratified, Spokes carry them out
  - If not ratified, provides written justification to committee Chair. Recorded with case findings.
- Spokes may summarily take actions based on findings of severe nature by other institutions, civil and criminal courts

# Connection between Concerns Reporting System and CoC

- Fermilab progressive enforcement system
  - Accountability to Fermilab Community Standards
  - Applied to users
- Connection to MicroBooNE CoC
  - MicroBooNE specifies points of contact for progressive enfo
  - Findings in cases Deals with the relationship of users/affiliates with the lab only
    - Lab will investigate, take actions for reports related to Fermilab Community Standards
    - Those actions bear on the relationship of offender with the lab
  - Utilizes a system of progressive enforcement
    - From reprimands, to suspension of lab access privilege, to termination of lab access privileges
  - MicroBooNE specifies contacts who get notified at conclusion of process
    - MicroBooNE would specify points of contact with the experiment
    - Findings and case details shared with the experiment contacts
    - We can then run our processes based on this information + any follow-up on our side