

DESI Collaboration Code of Conduct

v3.0, approved by the Institutional Board, August 2023

The Dark Energy Spectroscopic Instrument Collaboration (hereinafter called the DESI Collaboration) is a large international scientific collaboration with members from diverse backgrounds. In order to be successful, the DESI collaboration requires the participation of members with a broad range of skills, experiences, backgrounds, and career stages. This diversity is a strength, and cultivating an inclusive and respectful environment in our collaboration is essential to our mission. DESI Collaboration members should pay particular attention to interactions in which there is a disparity in seniority such as with students and postdoctoral researchers.

Non-Discrimination Policy

It is the policy of DESI to create an environment where all people who participate in its research and activities treat each other with respect and can work and together in an atmosphere free of discrimination, harassment and retaliation based on protected characteristics such as race, color, religion, sex, sexual orientation, gender, gender expression, gender identity, ethnic origin, national origin, ancestry, marital status, pregnancy, physical or mental disability, medical condition, genetic information, or military service, or, within the limits imposed by law because of age or citizenship or for other arbitrary or personal reasons. For examples of definitions of discrimination, harassment, and retaliation, see LBNL's policy or your member institutions policies¹.

Prohibition of Harassment

The DESI Collaboration does not tolerate verbal, non-verbal, or physical harassment of any kind by our members or against our members. This applies in all professional contexts.

Behaviors 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.

Sexual harassment is not tolerated in the DESI Collaboration, including, but not limited to, unwelcome sexual advances, unwelcome requests for sexual favors, and other unwelcome verbal, nonverbal or physical conduct of a sexual nature².

¹ LBNL has one set of definitions of these terms. They are one available here:
<https://commons.lbl.gov/display/rpm2/Discrimination%2C+Harassment%2C+and+Affirmative+Action+in+the+Workplace>

² Definitions of sexual violence and harassment from LBNL are available here:
<https://commons.lbl.gov/display/rpm2/Sexual+Violence+and+Sexual+Harassment#SexualViolenceandSexualHarassment>

DESI is committed to promoting and maintaining a healthy working environment and does not condone abusive conduct in any form, including physical bullying³, verbal abuse, disparagement, intimidation, exclusion, which is sufficiently severe, persistent, or pervasive to deny, adversely limit, or interfere with a person's participation in the DESI collaboration.

Scientific Misconduct

Members of the DESI Collaboration must perform research in a well--documented and ethically sound manner. Fabrication or falsification of data or results, plagiarism, violations of the DESI Publication Policy, taking credit for others' work, or any other scientific misconduct is a violation of this Code of Conduct, see as an example LBNL's policies governing research integrity⁴.

DESI Meetings

Whether DESI meetings are virtual or in person, the DESI Code of Conduct applies. When DESI members come together for meetings, all attendees at DESI-sponsored meetings where there is registration must agree to the Statement of Expected Conduct at DESI Meetings during registration for the meeting.

These in-person meetings will have two Meeting Contact Persons to support compliance with the Code of Conduct. They will be available to meeting attendees who are experiencing conflicts or disputes as part of the DESI meeting activities, including at meals and social events. Meeting Contact Persons shall have the authority to take actions intended to defuse a harmful situation resulting from behavior at the meeting, up to and including requiring an attendee to leave the meeting. They will report their actions directly to the DESI Spokespersons.

The DESI Spokespersons will select the Meeting Contact Persons and inform the DESI Collaboration Institutional Board prior to the meeting. The Meeting Contact Persons will be members of DESI who will be present for the duration of the Meeting. They will have a strong understanding of DESI policies and their authority to act as Meeting Contact Persons under these policies.

Adherence

All DESI members, including Participants, their sponsored members, and other associated staff, are expected to abide by this Code of Conduct, and prospective members and external collaborators must agree to the terms of the Code of Conduct as a condition of acceptance into the Collaboration. DESI is a voluntary collaboration between scientists. The Collaboration will take action if there are violations of this Code of Conduct. Such actions may include various types of training, as well as an acknowledgement of harm, apology, and plan to avoid future harm.

All DESI collaboration members are granted membership privileges at the discretion of the DESI Institutional Board (with the advice of the DESI membership committee). These privileges include

³https://drive.google.com/file/d/1dnC7c9BCFXGallmrb_Zmm-nygLefqOyy/view

⁴ <https://research.lbl.gov/group/research-and-institutional-integrity/>

potential permission to represent the collaboration in talks, leadership roles, data access, and joint authorship. Such privileges may be revoked by the DESI Collaboration, using processes described in the DESI By-Laws (see Sections 1.8 and 14.10), for grounds including, but not limited to, violations of this Code of Conduct.

The DESI Collaboration reserves the right to remove a member from DESI based on sanction or censure by the member's department, institution, or professional society for activity that constitutes a violation of the DESI Code of Conduct. Past sanctions or censure by a department, institution, or professional society for activity that constitutes a violation of the DESI Code of Conduct can be considered by the Institutional Board in judging new applications for DESI membership. DESI reserves the right to place any member currently holding a leadership position on temporary leave while they are under investigation by their department, institution, or professional society.

To the extent allowed by confidentiality agreements, DESI members are required to report to the Institutional Board (IB) chair if they are currently under investigation by an outside body including their department, institution, or professional society, for Code of Conduct or related violations. DESI members are required to report to the IB chair the outcome of such investigations, to the extent allowed by confidentiality agreements.

Any member of DESI with a concern about a violation of the Code of Conduct for DESI-related work may raise this concern to the DESI Spokespersons, IB chair, Director, or report through one of the mechanisms described below in the Reporting section. They may also contact one of the DESI Ombudspersons for confidential consultation. The Ombudspersons and DESI management are available to aid with informal conflict resolution and mediation, including assistance with short-term relief to interpersonal conflicts. The LBNL FAIR Office also has reporting and mediation services that are independent of the collaboration. The LBNL FAIR Office has agreed to assist complainants find resources including connecting them to resources and contact people at their employer's institution.

This Code of Conduct prohibits retaliation against any member who makes a report or participates in an investigation or other resolution process under this policy. Making any such threats, or engaging in intimidation, reprisals, or other adverse actions against any person attempting to assert their rights under this policy shall be a separate Code of Conduct violation.

Reporting

Individuals interested in pursuing formal complaints are encouraged to address complaints to the relevant institution(s) responsible for investigation and discipline. DESI management and the LBNL FAIR Office are available to help connect members to relevant officers at these institutions (e.g. Title IX offices), including to seek strategies for short-term relief or other interim actions.

Any member of DESI with a concern about a violation of the Code of Conduct for DESI-related work may raise this concern to the DESI Spokespersons, Institutional Board chair, Director, or Ombudspersons.

You may also make a personal report to the Berkeley Lab's FAIR Office, FAIR@lbl.gov. Confidentiality will be maintained to the extent permissible but cannot be guaranteed.

If you observe any violation of these community values, please report it as soon as possible. All reports are taken seriously. DESI management will work to eliminate inappropriate conduct, prevent its recurrence, and address its effects.

Members also can make a report anonymously through the FAIR office at LBNL. Use <https://fair.lbl.gov/>, click on "Report Incident to FAIR," in the "Reporter Information" box, there is an option to report anonymously. If it is desired to associate the report to DESI, DESI can be input anywhere in the "Incident/Description of Location" boxes. We cannot follow up on an anonymous report with you directly, but we will respond to reports immediately and take whatever action is necessary to prevent a recurrence.

Jurisdiction

In no circumstance does the DESI Code of Conduct supplant laws or institutional policies or requirements to which members of DESI or home institutions are subject, including reporting requirements of an individual or entity. It is understood that DESI members may report allegations of violations to home institutions, government agencies, or local authorities for investigation pursuant to applicable laws, regulations, and policies. The DESI Ombudspersons are available for confidential consultation, within the limits of the reporting requirements of their institutions, about any DESI-related issue or concern (see the DESI 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 DESI, member institutions, grantors, funding institutions or agencies, home institutions, or members, including DESI Management and committees. Although DESI encourages all members to abide by this Code of Conduct, DESI remains a voluntary member body. Members and their affiliated institutions waive any and all claims, liabilities, or damages against DESI, member institutions, grantors, funding institutions or agencies, home institutions, and DESI members involved in implementing the Code of Conduct arising from the enforcement of, or failure to enforce, this Code of Conduct.

Acknowledgement: This DESI Code of Conduct, the Statement of Expected Conduct at Meetings, and the Ombudsperson Description have been adapted from the LSST DESC and Astrobites Codes of Conduct, parts of which were adapted from the London Code of Conduct, itself derived from documents by Software Carpentry, PyCon, and Geek Feminism, all under Creative Commons licenses.