

Code of Conduct for the NOvA Collaboration

1 The NOvA collaboration strives to produce world class science. We value dedication, individual
2 effort, teamwork, and mutual support. We aim to maintain high intellectual and ethical standards as
3 we pursue our research. The NOvA Institutional Board has adopted this Code of Conduct to further
4 these goals; membership in the NOvA collaboration signals acceptance of this Code.

5 This Code sets standards of behavior in NOvA workspaces, at NOvA-sponsored events, including
6 related social events, and when a collaborator is representing the collaboration. It does not replace,
7 but augments the Fermilab Statement of Community Standards:

8 <http://directorate-docdb.fnal.gov/cgi-bin/RetrieveFile?docid=174> .

9 In Section 1 we articulate the positive collaborative culture we seek to establish and maintain and Sec-
10 tion 2 defines proscribed behavior. The terms of acceptance and applicability of this code are outlined
11 in Section 3. To promote a positive culture and provide support to our members, the collaboration
12 will have two Equity, Diversity, and Inclusion (EDI) chairs whose roles are outlined in Section 4.
13 Our commitment to a healthy collaborative culture requires that we recognize that violations of our
14 standards of collaborative behavior may occur and that we are ready to respond to protect and
15 support our collaborators should they face the consequences of misconduct. To that end, Section 5
16 outlines the channels available to collaboration members and EDI chairs for reporting and responding
17 to misconduct. Section 6 outlines how the code is to be disseminated across the collaboration and in
18 particular provides specific guidance about its posting at meetings of the collaboration.

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21 This document draws heavily from the LSST DESC Code of Conduct which itself draws from the London CoC and
22 related documents from Software Carpentry, PyCon, and Geek Feminism, all under Creative Commons licenses.



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26	Contents	
27	1 Statement of Values	3
28	2 Scientific Misconduct	4
29	3 Applicability, Acceptance and Limitation	5
30	3.1 Applicability and Acceptance	5
31	3.2 Limitation	5
32	4 Equity, Diversity, and Inclusion Chairs	6
33	4.1 Roles of the EDI Chairs	6
34	4.2 Commitment to Confidentiality and Privacy	7
35	4.3 Selection of EDI chairs	7
36	5 Reporting Scientific Misconduct	8
37	5.1 Reporting and Investigation of Scientific Misconduct	8
38	5.2 Formal Notice and Interim Measures	9
39	5.3 Consequences of Findings of Scientific Misconduct	9
40	5.4 Cases involving NOvA Leadership	10
41	5.5 Retaliation	10
42	6 Dissemination of the NOvA Code of Conduct	11

43 1 Statement of Values

44 NOvA firmly believes that the success of the collaboration's scientific efforts depends on the free
45 exchange of ideas and the ability of all members to contribute without reservation or impediment.
46 Accordingly, in interactions with one another, the collaboration has chosen to abide by the following
47 principles to maintain the health and vibrancy of our community:

48 **Welcome and mutual understanding** Collaboration members comprise many nationalities, cul-
49 tures, socioeconomic backgrounds, and value systems. We also exemplify diversity in many physical
50 attributes and abilities, aspects of individual identity, and professional environment and position.
51 Collaborators should work to value these differences in one another, to foster relationships that pro-
52 mote mutual understanding, and to seek opportunities to welcome everyone into our scientific process.
53 These differences, which can lead to a variety of viewpoints when examining the same situation, pro-
54 vide the collaboration the opportunity to understand each situation more completely. Whenever
55 possible, collaborators spanning a diversity of backgrounds and personal traits should be incorpo-
56 rated into decision-making processes so that our many viewpoints can be reflected in our collective
57 effort.

58 **Respectfulness and professionalism** The nature of scientific discourse frequently results in dis-
59 agreements or differences of opinion. These differences should be valued and handled in a professional
60 manner. Every individual is responsible for expressing opinions courteously and politely and for of-
61 fering all collaborators equal opportunity to be heard. Criticism, where warranted, should be offered
62 constructively and respectfully without any reference to individual traits or personality. Similarly,
63 constructive criticism should be received without taking personal offense. Collaboration members
64 should also be aware that behaviors and language acceptable to one person may not be to another
65 and members should make every effort to ensure that words and actions communicate respect and
66 consideration for others. Whenever possible, interpersonal conflict should be resolved directly in a
67 respectful manner, involving other collaborators and/or collaboration management if needed.

68 **Supportiveness and empowerment** NOvA is an organization which depends on the success of
69 its members to achieve its scientific goals. It is important for all scientists, and critically important
70 for the success of our early career collaborators, to continually seek professional growth and devel-
71 opment. Therefore, all collaborators, and especially those occupying managerial positions, should
72 actively seek to provide the resources and encouragement needed to support their collaborators as
73 they develop as scientists. Senior members should pay particular attention to interactions with less
74 senior collaborators, understanding that their influence can powerfully shape their colleagues' careers
75 and futures. Whenever possible, collaboration members should seek to empower their collaborators to
76 overcome any structural barriers that could otherwise prevent them from reaching their full potential
77 and intervene to remedy situations when the behavior of one collaborator marginalizes another.

78 **Scientific integrity** NOvA collaborators should conduct themselves with the highest level of sci-
79 entific integrity. Each collaborator is responsible for voluntarily and carefully attributing work to its
80 originator. Every effort should be made to document results in a clear and complete manner so that
81 the entire collaboration can evaluate them in an informed way.

82 2 Scientific Misconduct

83 To maintain a good working environment that enables all collaborators to do their best science,
84 we should endeavor to always treat each other with respect and acceptance according to the values
85 outlined in Section 1. Discrimination, harassment, and bullying create a hostile environment that
86 undermines our values and marginalizes individuals and communities while impeding the healthy
87 exchange of ideas, lowering productivity, undermining career advancement, and reducing the quality,
88 integrity, and pace of our science. We affirm that discrimination, harassment, bullying, and research
89 misconduct in any scientific or learning environment are unacceptable, and constitute scientific mis-
90 conduct, which will not be tolerated by our collaboration. Specific definitions of each of these terms
91 follow.

92 **Discrimination** Discrimination is the unfair treatment in professional opportunities, education,
93 benefits, evaluation, and employment (such as hiring, termination, promotion, compensation) based
94 on factors such as ethnic or national origin, race, religion, citizenship, language, political or other
95 opinion, sex, gender, gender expression, gender identity, sexual orientation, disability, physical ap-
96 pearance, age, economic class, lactation, pregnancy, or status as a caregiver, including as a parent.
97 Discriminatory practices can be explicit or implicit, intentional, or unconscious.

98 **Harassment** Harassment is a type of discrimination that consists of a single intense and severe act,
99 or of multiple persistent or pervasive acts, which are unwelcome, demeaning, abusive, or offensive.
100 Offensive conduct constitutes harassment when 1) tolerating or participating in it is made a condition
101 of obtaining or maintaining an opportunity, education, benefit, evaluation, or employment; 2) the
102 conduct is severe or pervasive enough to create a work or educational environment that a reasonable
103 person would consider intimidating, hostile, or abusive. These acts may include epithets, slurs,
104 or negative stereotyping based on gender, race, sexual identity, or other individual characteristics
105 (especially, but not limited to, those protected by applicable law). Also included are threatening,
106 intimidating, or hostile acts; denigrating jokes or displays; and the display or circulation of written
107 or graphic material that denigrates or shows hostility or aversion toward an individual or a group.
108 Harassment includes making and pursuing bad faith claims of misconduct, that is, claims known to
109 the reporter to be false.

110 Sexual harassment includes but is not limited to inappropriate, offensive, or obscene verbal,
111 written or electronic communications, inappropriate or unwelcome physical contact, unwelcome sexual
112 advances, requests for sexual favors, and other verbal or physical harassment of a sexual nature.

113 **Bullying** Bullying may be characterized as offensive, intimidating, malicious or insulting behavior,
114 or, an abuse or misuse of power through means that undermine, humiliate, denigrate or injure the
115 recipient. Bullying can include abusive criticism, humiliation, the spreading of rumors, physical and
116 verbal attacks, isolation, undermining, and professional exclusion of individuals through any means.

117 **Research Misconduct** Research misconduct includes but may not be limited to falsification, fab-
118 rication, or plagiarism. Fabrication is the act of making up data or results and/or knowingly recording
119 or reporting made-up or fake data. Falsification is the manipulation of research materials, equipment,
120 or processes or the changing or omitting data or results such that the research is not accurately rep-
121 resented in the research record. Plagiarism is the appropriation of another person's ideas, processes,
122 results, or words without giving appropriate credit. Research misconduct also includes violations of
123 the NOvA Data Approval and Publication Rules (nova-docdb 8783).

124 **3 Applicability, Acceptance and Limitation**

125 **3.1 Applicability and Acceptance**

126 This Code sets standards of behavior in NOvA workspaces, at NOvA-sponsored events, including
127 related social events, and when a collaborator is representing the collaboration. Membership in the
128 NOvA collaboration signals acceptance of this Code.

129 This Code will be governed by the rules set out in the IB Bylaws (DocDB-6094). When amend-
130 ments are proposed, the IB chair will consult with the EDI chairs prior to a vote.

131 In no circumstances does the NOvA Code of Conduct supplant laws or institutional policies
132 or requirements to which members of NOvA or home institutions are subject, including reporting
133 requirements those individuals or entities may have. It is understood that NOvA members may
134 report allegations of violations to home institutions, government agencies, or local authorities for
135 investigation per applicable laws, regulations, and policies.

136 **3.2 Limitation**

137 This Code of Conduct shall not be construed as creating any employer-employee, joint venture,
138 partnership, duty, trust, obligation to pay, or other relationship between NOvA, member institutions,
139 grantors, funding institutions or agencies, home institutions, or members, including NOvA leadership
140 and committees. Although NOvA encourages all members to abide by this Code of Conduct, NOvA
141 remains a voluntary member body, and members and their affiliated institutions, to the extent allowed
142 by the law of the state in which the member and/or the member's affiliated institution is located,
143 waive any and all claims, liabilities, or damages against NOvA, member institutions, grantors, funding
144 institutions or agencies, home institutions, and NOvA members involved in implementing the Code
145 of Conduct arising from the enforcement of, or failure to enforce, this Code of Conduct.

146 4 Equity, Diversity, and Inclusion Chairs

147 The NOvA collaboration will have two co-chairs committed to advancing equity, diversity, and in-
148 clusion within the collaboration. The chairs are charged with promoting the collaboration culture
149 outlined in this Code, serving as points of contact for collaboration members with concerns or sugges-
150 tions related to equity, diversity, and inclusion, facilitating the resolution of conflicts related to this
151 code, receiving and responding to reports of violations of this code, and escalating reports through
152 proper channels when appropriate.

153 The EDI chair positions will be convener-level positions in the collaboration who will be re-
154 sponsible to the co-spokespeople, will participate in convener meetings and in collaboration meeting
155 planning, and will be expected to report to the collaboration regularly. The names of the current EDI
156 chairs and their contact information will be prominently displayed on the collaboration web pages.

157 The appointment and terms of these positions are described in Section 4.3.

158 4.1 Roles of the EDI Chairs

159 In their convening roles the EDI chairs will:

- 160 • Serve as points of contact for collaboration members with concerns or suggestions related to
161 equity, diversity, and inclusion.
- 162 • Identify new issues and opportunities for systemic change for NOvA to promote equity, diversity,
163 and inclusion within the collaboration. The EDI chairs will actively gather information about
164 collaborators' experiences and perceptions that will provide insight into existing issues and
165 potential resolutions. The EDI chairs will be a source of detection and early warning of new
166 issues and a source of suggestions for improvements to existing processes.
- 167 • Identify and implement ways to raise the collaboration's awareness of how NOvA's professional
168 culture intersects with the values presented in this Code of Conduct including the identification
169 and dissemination of best practices and strategies for collaborators interested in taking a role
170 to improve the collaboration climate.
- 171 • Report periodically to the co-spokespeople and collaboration on the status of the collaboration
172 climate as it pertains to equity, diversity, and inclusion.
- 173 • Identify, recommend, and maintain training resources for future EDI chairs.

174 The EDI chairs are also responsible for assisting individuals reporting potential violations of this
175 Code of Conduct. When such violations or conflicts are raised, the role of the EDI chair(s) is first
176 and foremost to listen and provide support without judgment. The EDI chair(s) will work with the
177 person(s) or group raising the issue to determine what actions or remedies might bring resolution to
178 the issue. In all cases, the EDI chair(s) will help identify community and/or campus resources such
179 as legal counseling and advocacy as well as physical and mental health resources.

180 Concerns regarding violations of this Code of Conduct reported to the EDI chairs will inform
181 them about the collaboration climate. When an individual is unable or unwilling to formally report a
182 concern, the EDI chair(s) can assist by helping give voice to the concern and/or creating an awareness
183 of the issue among appropriate decision-makers in the organization. The EDI chair(s) will make
184 regular anonymized reports to the co-spokespeople which may serve as the basis for changes to the
185 collaboration working environment.

186 When the issues or concerns rise to the level where action or remedies are required for their
187 resolution, the EDI chair(s) may take actions to resolve the situation with the consent of the reporting
188 individual. These actions are outlined in Section 5.

189 **4.2 Commitment to Confidentiality and Privacy**

190 The EDI chair(s) will seek to protect the privacy of individual(s) or group reporting and/or affected
191 by violations of this Code of Conduct. The EDI chair(s) will strive to avoid taking any actions that
192 may reveal the identity of the individual(s) bringing the report or identifying specifics of the report
193 to anyone inside or outside the collaboration without that individual(s)'s permission. If the report
194 is made to only one EDI chair, they will not disclose information to the other EDI chair without
195 the individual(s)'s permission. The EDI chair(s) will also aim to protect the identity of the person
196 reported to have violated the Code of Conduct (the "respondent" hereafter).

197 In certain cases, the EDI chair(s) may be concerned by an imminent risk of serious harm or be
198 required by US law, other applicable law or by their own institutional policy to report the conduct
199 to an appropriate office or local authorities. The EDI chair will inform the concerned individual
200 of any potential reporting requirements. If there are concerns about confidentiality, the individual
201 raising the issue can discuss these questions with the EDI chair(s) before revealing any confidential
202 information.

203 **4.3 Selection of EDI chairs**

204 The EDI chairs will serve in two-year terms staggered by one year; one of the two initial chairs will
205 serve a one year term. EDI chair(s) may be re-appointed. Upon appointment and reappointment,
206 EDI chairs will be expected to complete the recommended training program established by previous
207 chairs.

208 The EDI chairs will be selected by the co-spokespeople. When it is time to select a new EDI
209 chair the co-spokespeople will solicit nominations from all members of the collaboration and choose
210 among the candidates nominated. The co-spokespeople will ensure that the EDI chairs have sufficient
211 seniority that they should conduct their duties free from intimidation, are highly visible and accessible
212 to the collaboration, are endorsed by the early career members of the collaboration, and represent the
213 diversity of the collaboration to the best extent possible. The co-spokespeople are strongly encouraged
214 to maintain gender diversity in the EDI chair positions.

215 5 Reporting Scientific Misconduct

216 5.1 Reporting and Investigation of Scientific Misconduct

217 Any member of the NOvA collaboration with a concern about a violation of this Code of Conduct
218 can contact one or both of the EDI chairs. The EDI chair(s) will work with the reporting individual
219 to decide on an appropriate course of action and understand what remedies the reporter is seeking.
220 The EDI chair(s) will help the reporter identify support resources, such as an institution's Title IX
221 office, Equity, Diversity and Inclusion (or equivalent) office or Human Resource contact at Fermilab.
222 As described in Section 4.2 the EDI chair(s) will seek to maintain privacy and confidentiality of the
223 reporter and to the extent possible of the person reported to have violated the Code of Conduct.

224 In cases where the EDI chair(s) and the reporter judge that a formal investigation is not warranted
225 or desired, some options for outcomes include:

- 226 • No immediate action, but the report informs the EDI chair(s) about collaboration climate and
227 patterns of behavior which are regularly and anonymously reported by the EDI chair(s) to the
228 co-spokespeople. This knowledge may inform changes to the collaboration working environment
229 or future investigations.
- 230 • Guiding or coaching reporters to deal directly with other parties as well as confronting re-
231 spondents about their alleged behavior and possibly involving the collaboration working group
232 conveners and/or collaboration co-spokespeople.
- 233 • Direct actions by the co-spokespeople in accordance to the rights and responsibilities afforded
234 to the co-spokespeople by the collaboration.

235 Cases which warrant a formal report include reports of discrimination, sexual harassment, bully-
236 ing, retaliation, and research misconduct. In fact, under many of these circumstances, a formal report
237 to an institution or local authorities is required by law or institutional policy. The EDI chair(s) will
238 provide guidance and support to the affected individual(s) in making a formal report which may
239 include one or more of the following:

- 240 • A report to the collaboration leadership which may lead to an investigation.
- 241 • A report to the Neutrino Division Human Resources (HR) contact person based on the Fermilab
242 Statement of Community Standards (SOCS).
- 243 • A report to relevant host or home institutions and/or professional societies.
- 244 • A report to law enforcement.

245 Anonymous reports can also be made to the Fermilab Neutrino Division Human Resources Part-
246 ner¹ or through the Fermilab Action Line, +1-630-840-4000. In addition, the Fermilab General
247 Counsel web site² provides information on how to make anonymous reports to Fermilab and the
248 Department of Energy.

249 In cases where the Fermilab SOCS applies, the EDI chair(s) and reporter are encouraged to pursue
250 reporting through Fermilab. If it is unclear whether the Fermilab SOCS applies, the co-spokespeople
251 and/or EDI chair(s) will consult with the FNAL Neutrino Division HR representative. The EDI
252 chair(s) will support the reporter in identifying avenues with the intent of achieving a satisfactory
253 resolution of any report of misconduct.

¹The WDRS contact listed here: http://neutrino.physics.fnal.gov/wp-content/uploads/ND_Org_Chart.pdf

²<http://generalcounsel.fnal.gov/how-to-report-fraud-waste-or-abuse/>

254 As per U.S. federal regulations, any member affiliated with a U.S. research institution must report
255 any allegation of possible research misconduct to their local Research Integrity Officer for adjudication.
256 Any member not affiliated with a U.S. research institution should report any allegations to the
257 leadership of the Fermilab Research Alliance who shall then forward the allegation to an affiliated
258 Research Integrity Officer for guidance.

259 In cases where no other appropriate reporting channel can be identified, the NOvA co-spokespeople
260 will attempt to identify an investigator from outside the collaboration. The investigator will be
261 charged with determining if there is convincing evidence that a violation of the NOvA Code of
262 Conduct has occurred and presenting the evidence to support those findings. The investigator's
263 report will be delivered to the co-spokespeople. To the extent possible, the identities of the reporter,
264 respondent, and witnesses will be kept confidential during the investigation and in the final report.

265 **5.2 Formal Notice and Interim Measures**

266 Any communications of the reporter with the EDI chair(s) will not constitute formal notice to the
267 NOvA collaboration, to the reporter's home institution, or to the home institution of the subject of
268 the report, with the exception of those cases where notice is required by law or institutional policies
269 which apply to the EDI chair(s).

270 If a reporter chooses to pursue a formal report, the reporter and EDI chair(s) are strongly en-
271 couraged to formally notify the collaboration co-spokespeople. Formal notice can come from the EDI
272 chair(s) or reporter and should include a factual written summary of what is being reported including
273 the names of the reporter and respondent.

274 Once notified, the collaboration co-spokespeople are authorized to take interim actions while
275 the investigation is ongoing without the presumption that a violation has occurred. These may
276 include actions which limit contact between the respondent and reporter, restrict in-person or remote
277 attendance at meetings, suspend the respondent from leadership positions, or other actions deemed
278 necessary by the co-spokespeople to ensure the safety and well-being of collaborators.

279 **5.3 Consequences of Findings of Scientific Misconduct**

280 If convincing evidence of misconduct is found, the co-spokespeople will agree on a recommended
281 remedy which may include, but is not limited to

- 282 • A formal report to the supervisor, employer or institution,
- 283 • A ban from in-person participation at collaboration meetings,
- 284 • Removal from leadership position(s),
- 285 • Removal from authorship lists,
- 286 • Removal from collaboration.

287 If the remedy recommended by the co-spokespeople involves the suspension or removal of privileges
288 granted to collaborators through the NOvA Institutional Board, including, for example, authorship
289 rights or collaboration membership, the co-spokespeople will introduce their recommended remedies
290 as a motion to the IB at an IB meeting to be scheduled in a timely fashion but with at least two weeks
291 notice. Members of the IB will be provided a copy of the investigator's report, redacted to protect
292 identities of reporter, respondent, and witnesses. The IB will have at least two weeks to consider the
293 report before a vote. The motion will carry if approved by a majority in a secret ballot vote of the
294 IB members attending the vote. An abstention is not a vote for this purpose.

295 During these deliberations and afterward, the co-spokespeople, IB Chair, EDI Chair(s) and mem-
296 bers of the IB will be committed to protecting the privacy of the text and findings of the investigator's
297 report, the identities of reporters, respondents, and witnesses involved in the report, and the nature
298 and specifics of the IB's deliberations. IB members will recuse themselves from these deliberations
299 and votes if at any point they become aware of a conflict of interest or a perceived conflict of interest
300 including prior knowledge or involvement with the case under consideration. Questions about con-
301 flicts of interest should be directed to the IB Chair for resolution. Willful or negligent violations of
302 the integrity of this process are a serious violation of this Code of Conduct.

303 This Code grants the IB the right to remove or sanction a member of NOvA without formal inves-
304 tigation based on sanction or censure by other institutions for activity that constitutes a violation of
305 the NOvA Code of Conduct. These institutions include Fermilab and other laboratories, universities,
306 and professional societies.

307 **5.4 Cases involving NOvA Leadership**

308 If the allegations involve both EDI chairs, a reporter may approach any senior collaboration member
309 for guidance and support. If the alleged violation relates to NOvA co-spokespeople, the Chair of
310 the NOvA IB will assume the roles assigned to the co-spokespeople in the sections above. If the
311 allegations relate to the NOvA IB chair, the roles assigned to the IB Chair will be replaced by the
312 collaboration co-spokespeople.

313 **5.5 Retaliation**

314 Retaliation toward a member who pursues any of the reporting options listed above, or toward any-
315 one assisting either in the reporting or investigation of a claim, is a severe violation of this Code.
316 Retaliation includes unjustified demotion or re-assignment of project duties, third party reprisals, as
317 well as any breach of confidentiality, defamatory statements, and any statement or action intended to
318 intimidate or harass anyone involved in an investigation. Refusal to cooperate with an investigation
319 of misconduct and non-compliance with interim measures requested by the co-spokespeople are con-
320 sidered forms of retaliation. Retaliation perpetrated by any member of the collaboration, whether or
321 not involved in an investigation, will be pursued to the fullest extent by the collaboration.

322 6 Dissemination of the NOvA Code of Conduct

323 This Code will be disseminated to the collaboration by the Institutional Board chairperson through
324 the Institutional Board representative of each institution. It is the responsibility of the Institutional
325 Board representatives to ensure that new collaborators at each institution are made aware of this
326 code. The co-spokespeople and Institutional Board chair will make prospective new collaborating
327 institutions aware of this code when inquiries are made about joining the NOvA collaboration.

328 When the NOvA collaboration comes together in person for meetings we have an opportunity to
329 reaffirm and exercise our commitment to the values outlined in the NOvA Code of Conduct. During
330 the registration process and at the start of NOvA collaboration meetings and workshops the co-
331 spokespeople and/or organizers will reference and display the notice below. Participation in a NOvA
332 meeting will signal acceptance of the Code of Conduct.

NOvA Code of Conduct

333 The NOvA Collaboration has adopted a Code of Conduct, nova-docdb-32404. The collaboration
334 and the local organizers are committed to conducting meetings that are productive, welcoming, and
335 reinforce our mutual understanding. NOvA will not tolerate harassment of participants in any form.
336 By participating in this NOvA meeting you agree to:

- 337 • Behave professionally and with respect. Do not insult or put down other meeting participants.
338 Do not carry out disruptive behavior or tolerate disruptive behavior from others. Encourage
339 participation from all collaboration members.
- 340 • Communicate appropriately. Aim for a professional audience including people of many different
341 backgrounds. Exclusionary or offensive comments or jokes, such as those related to personal
342 attributes, are not appropriate. Sexual language and imagery are not acceptable under any
343 circumstance.

344 Unacceptable meeting behavior includes, but is not limited to, sustained disruption of talks or other
345 events, unwelcome physical contact, sexual attention or innuendo, intimidation, stalking, and record-
346 ing of an individual without consent. Consent for photography should not be assumed; subjects
347 should be contacted prior to use or posting of images.

348 All members of the NOvA collaboration have a responsibility to their collaborators to insist on
349 professional behavior and are empowered and expected to intervene to resolve conflicts and to prevent
350 or stop undesirable behavior. Participants asked to stop any behavior inconsistent with this code
351 are expected to comply immediately. Sustained disruptive behavior and conflicts which cannot be
352 resolved should be reported to the co-spokespeople or their designees who are authorized to take
353 action including restricting contact between individuals or removal of individuals from the meeting.

354 This code applies to collaboration sponsored meetings and events including social events.
