Deliverable - Safety Plan

Description from URGE (CoC starts on 2nd page):
This deliverable is a safety plan, whether you work in a laboratory or in remote field settings.

Consider spaces in your organization as well as in the broader field that have barriers to access for people of color. Applies to field work but also spaces closer to home, e.g. a Black graduate student walking home late from lab work may be more likely to be stopped and questioned by police. Consider that Black, Brown, Indigenous, and other people of color will face different challenges from one another.

Suggested discussion questions:
- Where is your work done? Are these spaces uncomfortable or unsafe for people of color?
- What training does your organization require or offer? How often? Do you find this training effective? What would you introduce to make it more effective?

Deliverable: Develop and publish a safety plan specific to your pod (lab, university, organization). This safety plan should include a code of conduct as well as a process for reporting violations, as covered in your Complaints and Reporting Policy deliverable from Session 2. Outline training resources that are available and requirements for antidiscrimination, bystander intervention, and de-escalation training. For field work, include a racial risk assessment of sites, a pre-departure checklist of discussions within the field team, procedures for documenting incidents in the field, as well as additional required or supported training. This safety plan can (and should be) a work in progress that is revisited and refined.

Examples:
- Safety Plan: (Demery & Pipkin, 2021) [www.preprints.org/manuscript/202008.0021/6](www.preprints.org/manuscript/202008.0021/6)
- Lab group Code of Conduct: Basin Research Group
- Field site CoC / TitleIX guidelines: UAF Toolik Code of Conduct, UAF Toolik TitleIX
- Lots of info, citations & resources from ADVANCEGeo: Field Work, Codes of Conduct
- Baylor Geoscience dept web resources: Standards of Geoscience Ethics
- Ada Initiative: How to design a code of conduct for your community
- KU CSTEM Code of conduct
Northern Arizona University
Department of Astronomy and Planetary Science
Code of Conduct

Purpose
To ensure a safe and positive work environment in the Department of Astronomy and Planetary Science (DAPS) and to give guidance on dealing with misconduct.

Applies To
Faculty, staff, students, post-docs, affiliates, visitors, and independent contractors working within DAPS.

Edition and Review
This is a living document and will be revised no less than once per year by the DAPS Equity, Diversity, and Inclusivity (EDI) committee.

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Edited by: The NAU Astronomy and Planetary Science URGE pod

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Code of Conduct

Overview

Everyone in the Department of Astronomy and Planetary Science (DAPS) has the right to work in an environment free from bullying, discrimination, harassment, sexual misconduct, and other forms of violence, in addition to having a safe and fulfilling experience, both professionally and personally. All members of DAPS are expected to show respect and courtesy to others at all times. DAPS culture is created by us, and we choose to create an inclusive culture.

The guidelines below describe the values and behaviors expected of all DAPS members, as well as the procedures for responding to inappropriate behavior. This Code is not a legal document and by no means supersedes the rights and responsibilities accorded to DAPS members by Department, College, and Northern Arizona University policies or the law. DAPS takes violations of this Code seriously and will observe the grievance policies below, deferring to appropriate university units as necessary.

Values

The role of each person in the community is integral to the success of the Department. We are all responsible for promoting a workplace culture based on trust, respect and communication and have identified the following values central to achieving this goal:

- **Respect** for the dignity and worth of all individuals;
- **Open-minded** consideration of ideas, perspectives and beliefs that challenge our thinking;
- **Integrity**, honesty and professionalism in performance of our responsibilities;
- **Accountability** for actions, resources, and relationships;
- **Transparency** in decision-making processes that shape priorities and initiatives;
- **Collaboration** and cooperation to promote the success of initiatives and individuals.
Putting Values into Action

Achieving a culture aligned with our values requires more than philosophical principles. DAPS holds itself and its community members to the following standards to put our values into action:

- **Conduct**: Members will act with honesty and be personally accountable for individual actions; will conscientiously fulfill obligations of their position; will treat others with courtesy, respect, equity and fairness; and will foster an inclusive environment.

- **Integrity**: Members will take responsibility for the integrity of their contributions to all professional activities and interactions.

- **Acknowledgement**: Members will acknowledge the names and roles of those who made contributions to activities, work product including publications, and achievements.

- **Environment**: Members are responsible for creating and promoting safe, open, and productive environments for learning and working. These environments honor privacy and confidentiality and are characterized by integrity, respect, fairness, trustworthiness, and transparency.

- **Mentee/Mentor Relationship**: The relationship between mentees and their mentors is a unique one in the academic environment. In addition to the responsibilities outlined in this section for the respectful treatment of all individuals, DAPS members should be sensitive to the power imbalance in all mentee/mentor relationships, and aware of responsibilities of the mentor, the mentee, and the institution in regards to this relationship. A mentor is any member of DAPS who provides encouragement and guidance to students, interns/trainees, post-docs, or more junior faculty. See Appendix D: Mentorship for more information.

- **Public Communication**: Members, when representing or otherwise displaying any affiliation with DAPS, will limit professional comments to their areas of expertise, refrain from personally critical comments, and will clearly distinguish professional comments from their opinions based on personal views. This applies to engagement in both public discussions and to social media postings.

- **Adherence to Law and Policies**: Members will be aware of and adhere to laws, university policies, and this Code of Conduct in their professional behavior.

- **Intervention**: Members will take responsibility for active positive intervention when aware of misconduct or suspected misconduct including discrimination, harassment, bullying, or other irresponsible behaviors that undermine individuals, DAPS, or the university.

- **Reporting**: Members have a responsibility to appropriately and promptly report misconduct they witness or of which they become aware. Additional information on reporting is included in the following section.

- **Misconduct**: Members will not engage in discrimination, harassment, bullying, dishonesty, fraud, misrepresentation, coercive manipulation, censorship, or other misconduct. This applies to all professional, research, and teaching environments
and to conduct both on- and off-campus. An expanded discussion of unacceptable behaviors appears below.

Misconduct and Unacceptable Behaviors

This Code of Conduct establishes the positive standards of conduct that all DAPS members should embrace to create a safe and inclusive environment for all community members. DAPS rejects and condemns all forms of discrimination, bullying, and harassment by any means and based on any factor. The following list defines some forms of misconduct and is not intended to be exhaustive. Behaviors violating the law or NAU policy will also be considered misconduct.

- **Title IX Violation** is the collective term used for incidents involving discrimination, harassment, sexual harassment, sexual violence, stalking, dating violence, domestic violence, and/or retaliation.
- **Discrimination** is the unequal or unfair treatment in professional opportunities, education, benefits, evaluation, and employment (such as hiring, termination, promotion, compensation) as well as retaliation and various types of harassment. Discriminatory practices can be explicit or implicit, intentional or unintentional.
- **Harassment** is a type of discrimination that involves actions, words or physical gestures that could reasonably be perceived to be the cause of another person's distress or discomfort, or which put the safety of the individual at risk. This includes all behaviors that are unwanted by the recipient, which may include epithets, slurs, or negative stereotyping based on identity.
- **Sexual Harassment** includes unwelcome sexual advances, requests for sexual favors, other verbal or physical conduct of a sexual nature, and offensive comments related to gender, gender identity and expression, sexual orientation, physical appearance, and body size.
- **Sexual Violence** includes rape, sexual assault, inappropriate touching, sexual battery, sexual exploitation, coercion, and other forms of non-consensual sexual activity.
- **Stalking** is repeatedly following, harassing, threatening, or intimidating another person via telephone, mail, electronic communication, or social media.
- **Patterns** of inappropriate social contact, such as requesting/assuming inappropriate levels of intimacy with others.
- **Dating and Domestic Violence** includes emotional, verbal, and economic abuse with or without the presence of physical abuse.
- **Retaliation** is adverse employment, academic, or other actions against anyone reporting a violation of this policy.
- **Power-based personal violence** occurs when an individual asserts power, control, or intimidation in order to harm another (sometimes called bullying). This includes relationship/partner violence, sexual assault, and stalking.
- **Deliberately mis-characterizing** a person's gender identity, including through the use of a name or pronoun that the person has rejected.
- **Gratuitous or off-topic** sexual images or behavior in spaces where they are not appropriate at the field station.
- **Micro-aggressions** are everyday verbal, nonverbal, and environmental slights, snubs, or insults which communicate hostile, derogatory, or negative messages to target persons based solely upon their group membership. Micro-aggressions are often related to discrimination, harassment or bullying, and may occur in well-intentioned individuals unaware that they are engaging in a micro-aggression.

**Witnessing Misconduct**

The most effective way we can prevent harm to any member of our community is by looking out for each other. All DAPS community members are expected to share in the responsibility of creating a safe environment and to act when they witness behavior that could be harmful to others. In any potentially harmful situation there are often other individuals along the way who recognize there is a problem and have the ability to step in and help the targeted individual.

Bystander intervention training programs provide tools to help bystanders act effectively in the way that works best for them. Active bystanders are individuals who take the responsibility to act when they see something or hear something that makes them uncomfortable.

To Do: commitment from DAPS to offer / support bystander intervention training on some basis?

Note: You do not need training in order to be an active bystander. Anyone witnessing an incident can employ the **5D strategy** for bystander interventions: direct, distract, delegate, delay, document. Here are some more suggestions to take an active role in the safety of our community:

- Be aware of your surroundings and social situations;
- If a situation makes you or others uncomfortable, or it looks like someone is being targeted, recognize that this is a problem and that you can be part of the solution to help;
- Take action to diffuse the situation while staying safe. Some ideas include: checking in with the targeted individual, telling a faculty member what is happening, recruiting help from friends, diffusing the situation by distracting those involved (look at that neat thing over there!);
- If you are uncertain if there is a problem, check in with the individuals involved to see if they are okay or need help;
- If you feel comfortable and recognize that there is an issue, say something: “Hey, that’s not a cool thing to say” or call out the inappropriate comment.
Reporting Procedures

DAPS values the help of its members who identify and speak up about problems that need to be addressed. By being made aware of problems, DAPS has the opportunity to deal with the concern or direct it through appropriate university channels for resolution.

DAPS faculty and Teaching Assistants are mandatory reporters for incidents of discrimination and sexual harassment, including sexual violence; these incidents must be directly reported to the Title IX Coordinator within the NAU Equity and Access Office (EAO). For all other NAU members who wish to report a complaint of discrimination or harassment directly to the EAO, you may fill out the reporting form here (with the option to remain anonymous).

Incidents and concerns about students at NAU (including issues of academic misconduct, safety, mental health, etc.) are taken seriously and may be reported directly to the Dean’s Office through the incident reporting forms here.

Incidence of misconduct may also be reported within DAPS which may work towards an internal resolution or defer to the appropriate university body depending on the case. Reports are taken seriously and will travel “up, not out”. This means that reports will be escalated only as necessary and will be kept in confidence within the chain of command unless they trigger mandatory reporting to the Title IX office.

Reports of misconduct within DAPS should be directed to the link in the DAPS chain of command equal to or one step above all individuals involved in the incident. The chain of command is as follows:

- Faculty Mentor / EDI committee member / Graduate Program Committee member;
- DAPS Undergraduate Chair / Graduate Coordinator;
- DAPS Associate Department Chair / Department Chair;
- Dean of CEFNS.

Conclusion

We share a commitment to building an open and inclusive culture that challenges each of us individually in our roles, but our real strength lies in our collective efforts. This code serves as a central guide and reference to support day-to-day decision making by DAPS members in their work, as well as providing benchmarks against which professional behavior can be measured. However, it’s impossible to spell out every possible ethical scenario members might face. Instead, we rely on one another’s good judgment to uphold the highest standards of integrity for ourselves and our Department, and we expect all members to be guided by both the letter and the spirit of this Code of Conduct.
References and Usage

This Code of Conduct is inspired by and adapted from the following resources:

University of Kansas Center for STEM Learning Code of Conduct

University of Alaska Fairbanks Toolik Field Station Permits and Policies and Title IX at Toolik Field Station

Imperial College London Basin Research Group Code of Conduct

This CoC is released as CC-BY 4.0.
Appendix A: Field Work

Some DAPS members travel to conduct field work at national and international sites. In addition to the roles and responsibilities outlined in this Code, DAPS members are reminded that they are representatives of DAPS while in the field and shall additionally respect the following guidelines:

Prior to field work:
- A field work safety plan shall be developed to ensure the safety of all participants while in the field, paying special attention to accessibility and challenges or barriers that BIPOC may face while in the field (Anadu et al., 2020). See attached example.
- This safety plan must be agreed on and signed by all instructors, TAs, the DAPS Chair or Assoc. Chair, and the EDI committee. All signatures are required before the approval of any field work.
- The safety plan will be sent to all participants to solicit questions and feedback at least 2 weeks prior to entering the field.

While in the field:
- No samples or measurements shall be taken without explicit permission of the stewards of the land.
- No samples or measurements shall be taken without proper authorization, permits, and knowledge of local tribal, state, county, and/or federal laws and regulations.
- Team leaders will be present with team members at all times unless a plan for a “buddy system” has been described and approved in the safety plan.
- Instances of hostility or discrimination regardless of severity towards any team member will be addressed as they happen and documented for DAPS records.
- If at any time a team member expresses that they feel that they are in danger, the team will exit the situation in accordance with the steps in the safety plan.

After returning from the field:
- Ensure all measurements and samples are properly attributed to the land they were taken from and all land stewards and team members are acknowledged in presentations / publications that use this work.
- Any incidents documented in the field and the steps taken to address them will be submitted to the EDI Committee for Department records. If further action is required, team leaders will work to resolve them through the appropriate channels under with the guidance of the EDI Committee.

Safety Plan form:
- To do: Make a departmental field work safety plan form (e.g. similar to https://www.uvic.ca/international/assets/docs/field-safety-plan.pdf)
- Must have at least an evacuation plan and signature lines for team leaders, Dept Assoc. / Chair, EDI Committee
Appendix B: Observing

Some DAPS members travel to observe at national and international telescopes. In addition to the roles and responsibilities outlined in this Code, observers should be aware of and adhere to all guidelines, regulations and/or Code of Conduct provided by the telescope or observation facility. DAPS members are reminded that they are representatives of DAPS while outside the Department and shall keep this in mind throughout the observation period.

All DAPS members using the remote observation room on campus should note that in addition to the roles and responsibilities outlined in this Code, remote observers shall additionally respect the following guidelines during odd hours:
- Students should be given an escort option to and from the observation room.
- Campus security will be notified of the observing time, and made aware if students will be walking across campus at odd hours.

Appendix C: Conferences, Meetings, and Panels

Many DAPS members participate in national and international conferences, science team meetings, workshops, and review panels. In addition to the roles and responsibilities outlined in this Code, observers should be aware of and adhere to all guidelines, regulations and/or Code of Conduct provided by the conference, meeting, or panel organizers. DAPS members are reminded that they are representatives of DAPS while outside the Department and shall keep this in mind while at all academic engagements.

Appendix D: Mentoring

Mentorship in DAPS comes in many forms, be it faculty advisor to student, graduate student to undergraduate student, faculty member to faculty member, and many others. The relationship between mentees and their mentors is a unique one in the academic environment. In addition to the responsibilities outlined in this Code for the respectful treatment of all individuals, DAPS members should be sensitive to the power imbalance in all mentee / mentor relationships, and aware of responsibilities of the mentor, the mentee, and the institution in regards to this relationship. DAPS mentors should additionally respect the following guidelines:
- Keep the perspective of BIPOC mentees in mind and respect unique experiences. Cross-cultural mentoring relationships can take additional work to build trust.
- Encourage mentees to have a diverse mentor network and facilitate new collaborations and mentorship opportunities whenever possible.
- Work to protect their mentees from unwanted visibility while advocating for their mentee to be on committees, papers, etc., because enhanced visibility can be a risk to BIPOC mentees. The key here is open and frequent communication with your mentee.
- Be open to being ‘called out’. Mistakes will be made and growth comes from learning from those mistakes.

Appendix E: Teaching

Most DAPS faculty and graduate students will have the opportunity to instruct or be teaching assistants for DAPS courses. While teaching is often rewarding, it can also be demanding. In addition to the responsibilities outlined in this Code for the respectful treatment of all individuals, DAPS members should be sensitive to the power imbalance in all teacher / student relationships and be aware of mandatory reporting procedures of the Title IX office.

Additionally, DAPS offers courses that involve the study and dissemination of Indigenous knowledge (e.g., AST201: Indigenous Astronomy). These courses allow students to appreciate unique perspectives of astronomy from a variety of perspectives, but require care to be taught in an ethical and respectful manner. In addition to the responsibilities outlined in this Code for the respectful treatment of all individuals, DAPS instructors and teaching assistants who teach courses involving Indigenous knowledge systems should additionally respect the following guidelines:

AST201 instructors should:
1. Have experience working with and show appreciation for diverse populations.
2. Have experience working with and appreciation of EDI initiatives within the department or field of astronomy as a whole.
3. Have prior experience with teaching or public outreach.
4. Have a deep understanding of - or willingness to learn - how knowledge is gathered and passed on in different Indigenous traditions. This is particularly important for those Indigenous Astronomies that deal with sacred knowledge that may only be passed along by certain community members or at certain times of the year.
5. Understand that AST201 is a complex class and having knowledge of modern Western astronomy is no guarantee for the correct instruction of the class.
6. Be prepared to handle difficult classroom situations with care and sensitivity (e.g., addressing insensitive comments if they arise).

AST201 Teaching Assistants should:
1. Be in the second year of the NAU graduate program or above.
2. Know and understand that Indigenous knowledge and connections are often sacred.
3. Be willing to devote time to learning Indigenous astronomical knowledge.
4. Be prepared to handle difficult classroom situations with care and sensitivity (e.g., addressing insensitive comments if they arise).
5. Have the opportunity to familiarize themselves with the resources available to teach this class in advance of being assigned as a TA.