Background & Notes

N.B. this first page is just here for background information and is not part of the Code of Conduct, which starts on page 2. This is the cumulative work of the UW Geoscience D&I Code of Conduct Subcommittee with input from our URGE pod. Future work will include meeting with the two other URGE pods in our department to refine our drafts as part of the final CoC (to be ratified Summer 2021).

Context and Motivation

The establishment of the Geoscience Diversity & Inclusion (D&I) Committee in 2017-2018 was a formative step in the development of a culture of equity, creativity, and positive workplace climate in our science community. The ratification of a Departmental D&I Statement of Purpose in 2018 further solidified these principles. Moreover, successful student-led initiatives such as GGSA's GeoPath have motivated action and built community around important challenges facing our Department and our discipline. Additionally, in May of 2020, the committee reviewing the results of the Graduate Climate Survey (taken by > 70% of grad students) suggested a code of conduct and field safety policy be implemented. This sentiment was also reflected at multiple D&I meetings of undergraduate and graduate students, faculty, and staff as well as in messages from alumni throughout summer 2020.

We are not alone in doing this work. Many scientific societies, agencies, and Departments across the country have in recent years reinvigorated their codes of conduct to address not only ethical research, but to incorporate expectations for a safe and respectful working environment, with the addition of specific policies towards sexual harassment and bullying. Establishing such a Code of Conduct is a natural next step in our Department's efforts to facilitate an environment in which people of all backgrounds and identities are free to creatively contribute to our foundational exercises in education, research, and discovery.

D&I Committee Process and Consensus

In May of 2020, The D&I Committee was tasked with several actionable items related to the outcome of the 2019-2020 Graduate Student Climate Survey, among them a drafting of a holistic Code of Conduct. A subcommittee consisting of faculty, research staff and graduate students has drafted this Code. This subcommittee and the broader D&I committee have been open to all Department members, and the subcommittee has sought to engage with the broader community via general D&I meetings as well as via a code-specific "Community Voices" event held in September 2020. A draft of this document was reviewed by Faculty Council in December 2020 and returned to the D&I committee. Following revision by the D&I subcommittee and discussion by the D&I committee, the revised document was reviewed by the Faculty Council on Feb. 14, 2021 and following minor revision is now being forwarded to the faculty for approval.

In addition to incorporating perspectives from our own community, this Draft Code has benefited greatly from resources and examples from AGU, ADVANCEGeo, GSA, and peer Departments. Committee structure, reporting and recordkeeping benefited greatly from documentation posted by and discussion with UW-Madison AOS and Astronomy colleagues, and suggested policies have been in large part modeled after these Departments' efforts along with the work of the University of Texas at Austin and Stanford ESS.

UW-Madison Department of Geoscience Code of Conduct

Preamble: Why have a Code of Conduct?

Formulating and implementing a code of conduct (1) serves as a collective recognition by members of a profession of its responsibilities, (2) can help create an environment in which ethical behavior is the norm, (3) can serve as a guide or reminder in specific situations, and (4) can serve as an educational tool, providing a focal point for discussion in classes and meetings. Moreover, the process of developing and maintaining a code indicates to others that the body formulating it is seriously concerned with responsible, professional conduct (Center for Study of Ethics in the Professions, ADVANCEGeo; AGU Ethics).

This Code applies to all community members of the UW-Madison Department of Geoscience (Faculty, Staff, Graduate and Undergraduate Students) as well as to collaborators on UW-Madison Department of Geoscience initiatives or projects. See **Appendix I: Key definitions** for a list of terms used in this document.

I.   Guiding Principles

The goal of the guidelines and resources presented in this document are to reinforce positive mental and physical safety in the Departmental environment, consistent with key areas of University policy and Federal, State, and Local law.

The Department of Geoscience at the University of Wisconsin-Madison is committed to creating and promoting a community where diversity is welcomed and nurtured. Our Department D&I statement voices our intention to foster a healthy and safe community for all individuals regardless of their professional status, diversity of age, race, ethnicity, gender and expression, sexuality, physical ability, immigration status, marital status, class, religion/spirituality, political ideology, or other social identity.

Additionally, we value respectful behavior that promotes mental and physical health and safety of our community members and visitors on campus and also for departmental events and field experiences that occur off campus. We are committed to pursuing research and education responsibly and ethically and in accordance with institutional policies and local, state, and federal laws. The following expectations and resources are intended to facilitate a culture of safety and accountability to support and enrich our community of research and learning.

II.   Policies & Expectations

Treat others with professional courtesy, equity and fairness in working with others

- Department community members and collaborators will adhere to the UW-Madison Student Code of Conduct and Employee Code of Conduct regarding interpersonal behavior, harassment, and hazing.
- All communications from members of the department should be appropriate for a professional audience. Biased, harassing, racist or other disrespectful language and imagery is not appropriate.
- Department members and visitors should be treated fairly and standards for assessment of performance should be applied equally.
- Hostile working environments are not acceptable. All Department members should behave conscientiously regarding power dynamics between faculty, staff, and students.

Pursue science responsibly and ethically

- Research will be carried out ethically and with integrity, in adherence with UW-Madison Research Compliance and Ethics Policy.
- Individuals should be personally accountable for their actions.

Act in accordance with legal and institutional compliance

- All members of the Department are expected to follow University policies for proper workplace behavior, safety protocols, and ethical research practices.
- All members of the Department are expected to follow federal, state, and local laws.
- In keeping with the spirit of other policies (i.e., UW-Madison Whistleblower Law, UW-Madison Policy on Sexual Harassment) that explicitly address anti-retaliation, we respect the right of individuals or groups to file complaints about the departmental climate or violations of this code without retaliation.

Promote and practice physical workplace safety

- Adherence to all UW-Madison safety policies is expected (e.g. driving/travel, lab/chemical, PPE, radiation safety).
- Departmental members are expected to comply with the UW-Madison Policy on Alcohol and Controlled Substances. This policy is applicable to events held both on and off campus including those held in other municipalities, states, and nations.
- Safety culture and responsibility is a group effort, with each individual playing a key part. However, leaders in research group, field, or class settings should endeavor to model proactive behavior and are responsible for integrating safe work practices into their instructional and research plans and training new lab users.

Do not engage in sexual harassment & bullying

- The Department of Geoscience does not tolerate sexual harassment or bullying. All Department members and collaborators will comply with the UW-Madison Policy on Sexual Harassment and Sexual Violence which states a prohibition of "acts of sexual harassment and sexual violence (including sexual assault, dating violence, domestic violence, and stalking)".
- All department members will comply with the UW-Madison Policy on Consensual Relationships between members of the university community where a conflict of interest or power differential between the parties exists.
- All Department members and collaborators will comply with UW-Madison Policy on Hostile and Intimidating Behavior which strictly prohibits behavior that creates a hostile and/or intimidating work environment (i.e., bullying).
- When possible, encourage and practice allyship and bystander intervention by calling out inappropriate behavior towards others and help to mediate situations that arise using the "three D's": Direct, Distract, or Delegate.

Promote an inclusive working environment
- All department members and collaborators will refrain from participating in exclusionary behaviors and/or using exclusionary language.
- Exclusionary behaviors and language are actions and words (jokes included) that discriminate, intentionally or unintentionally, against an individual based on their:
  - national origin, race, gender identity, sexual orientation, disability, physical appearance, body size, or religion.

Practice and promote appropriate field conduct

Field experiences are a core part of many educational, research, and community building activities in the Department of Geoscience. Field settings present unique challenges, including remoteness, unfamiliar or challenging surroundings, and prolonged personal interactions. The field is an extension of our workplace, and all University and Departmental standards of conduct apply in the field as they do on campus.

We acknowledge that physical safety concerns are an issue on campus as well, and we strongly encourage supervisors to have open conversations about race and campus safety that could include after hours work policies and measures to minimize the "othering" of minority students, staff, and faculty.

To create a field environment conducive to the maintaining standards of conduct and safety for all participants, we encourage the following concrete preparations for field excursions:

- The group leader convenes a pre-trip meeting to address participant questions / concerns and discuss logistics such as:
    - Anticipated sleeping, bathroom, and eating arrangements, accounting for common concerns such as dietary restrictions and gender identity;
    - Physical and other environmental conditions requiring preparation, and expectations for and availability of equipment;
    - Potential challenges with local norms or laws at the field site;
    - Expectations for conduct and compliance among group members;
    - Discussion of concerns and questions raised by any of the field team members.
- A Safety Audit should be conducted, including a racial risk assessment prior to every trip to facilitate discussion and address/plan for concerns. See Supplement
- Accommodations for individual needs. Confidential accommodations requests can be made to the group leader.
- Emergency and group communication plans should be made and shared with all participants. Group leaders should have confidential access to participant emergency contacts.
- All participants should have equitable access to communication devices when in the field for medical and non-medical emergencies.
- Up-to-date first aid experience or training for at least one participant per trip, preferably a group leader. A group medical kit should be made available to all participants.

- Suggested training for supervisors: cultural competency, de-escalation training, bystander intervention training, and we recommend an annual short course on personal first aid and field safety open to the entire department and required by students enrolled in the undergraduate geology course GEO202.

- For suggested pre-trip planning, see **Appendix V**

IV.   Reporting & Remediation

It is the intent of the UW-Geoscience Community to address conduct that does adhere to the expectations detailed above for the benefit of the whole community. Inappropriate conduct may be addressed with corrective action and disciplinary measures using a combination of resources both within and beyond the Department (see Appendix II: University Policies & Reporting). The

Department of Geoscience highly encourages conflict resolution at the lowest level possible, consistent with Section A.5 of the Graduate Student Handbook. In the event that involved parties cannot resolve a conflict amongst themselves, confidential reporting (when mandatory reporting is not required) to the Department Chair is encouraged. The chair then decides how to address the conflict after discussing the complaint with all involved parties.

Possible consequences for inappropriate conduct by Faculty and Staff

- Conduct may be sanctioned pursuant to University policies and procedures:
  - Faculty policies and procedures
  - Academic staff policies and procedures
  - Employee code of ethics *(Board of Regents)*
  - Faculty and academic staff code of ethics *(Wisconsin Legislature)*

- As appropriate and as allowed within university policy (see above) consequences may include but are not limited to:
  - Negative performance evaluations translating to loss of any merit raise and/or loss of access to endowments or discretionary funds (e.g. access to Weeks exercise funds), for a period of time;
  - Loss of access to departmental funds for TA/RA for student recruitment for a period of time;
  - Loss of ability to recruit new grad students or supervise undergraduate students for a period of time;
  - Required training in relevant workshops or courses;
  - Unpaid leave, or in severe cases, termination, following existing policies and procedures.

- For collaborators or visitors, sanctions may include a ban from access to the department or shared resources.

Possible consequences for inappropriate conduct for Students

- Conduct may be sanctioned pursuant to University policies and procedures:
  - Student non academic misconduct policy + procedures
  - Student academic policies and procedures

- Consequences may include actions similar to the following, as appropriate or allowed within University policy:
  - Loss of access to departmental resources (e.g. travel funds, merit fellowships) for a period of time;
  - Removal from a particular course or exercise, and associated academic consequences;
  - Written reprimand, suspension or expulsion in accordance with policies and procedures of the UW System.

V.   Assessment & Evaluation of Code of Conduct

This code will be publicly available on the Department website and disseminated via electronic communication to all Department members at the start of each academic year, including undergraduate students (see Appendix IV: Syllabus Language). This code should also be referenced or shared with visiting collaborators. The specifics of this code will be reviewed and updated bi-annually by the D&I committee, or more frequently as needed. Updates will be made

by a D&I group containing faculty, student, and staff representation. Changes will be ratified by full faculty vote.

Appendix I: Key Definitions

Discrimination means 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 unconscious.

Harassment is a type of discrimination that consists of a single intense and severe act, or of multiple persistent or pervasive acts, which are unwanted, unwelcome, demeaning, abusive, or offensive. Offensive conduct constitutes harassment when 1) it becomes a condition of an opportunity, education, benefit, evaluation, or employment or 2) the conduct is severe or pervasive enough to create a work or educational environment that most people would consider intimidating, hostile, or abusive. These acts may include epithets, slurs, or negative stereotyping based on gender, race, sexual identity, or other categories, as protected by U.S. federal law. Also included are threatening, intimidating, or hostile acts; denigrating jokes and displays; or circulation of written or graphic material that denigrates or shows hostility or aversion toward an individual or a group.

Sexual harassment includes any unwanted and/or unwelcome sexual advances, requests for sexual favors, and other verbal or physical harassment of a sexual nature. (UW Title IX)

Bullying is the use of force, threat, or coercion to abuse, intimidate, or aggressively dominate others in the professional environment that involves a real or perceived power imbalance. These actions can include abusive criticism, humiliation, the spreading of rumors, physical and verbal attacks, isolation, undermining, and professional exclusion of individuals through any means. The University of Wisconsin-Madison further defines bullying as "unwelcome behavior pervasive or severe enough that a reasonable person would find it hostile and/or intimidating and that does not further the University's academic or operational interests."

Hostile Workplace Behaviors: Unwelcome behavior pervasive or severe enough that a reasonable person would find it hostile and/or intimidating and that does not further the University's academic or operational interests is unacceptable to the extent that it makes the conditions for work inhospitable and impairs another person's ability to carry out his/her responsibilities to the university. A person or a group can perpetrate this behavior. The person need not be more senior than or a supervisor to the target. Repeated acts or a pattern of hostile and/or intimidating behaviors are of particular concern (SEFAC II-332).

Mandatory Reporting: All UW community members are mandated to report sexual assault invovling a student. Certain UW employees are mandated as 'Responsible Employees' to report violations of the UW-Madison Policy on Sexual Harassment (see UW-Madison Compliance Office for further description).

Near Miss: An incident in which no property was damaged and no personal injury was sustained, but where, given a slight shift in time or position, damage or injury easily could have occurred (OSHA).

Collaborator: Any person that is not a member of the Department of Geoscience working with faculty, staff, and/or students to advance the research, educational, or administrative missions of the department.

Appendix II: University Policies & Reporting

There are resources and individuals in the Department of Geoscience as well as across UW-Madison that are committed to helping resolve conflicts within our community.

For All Types of Incidents:
- Department of Geoscience Ombuds
- Department of Geoscience Chair
- UW-Madison Ombuds

Physical Workplace Safety
- The Department Chair and Administrator and EHS should be contacted for assessment and assistance in the event of reportable incidents or near misses.
- UW Madison Injury and Incident Reporting Forms & Procedures (includes Near Miss and Unsafe Condition Report)
- UW-Madison Chemical Safety
- UW-Madison PPE Policy
- UW-Madison Radiation Safety
- UW-Madison Research Compliance and Ethics
- UW-Madison Driver Authorization
- UW-Madison Policy on Alcohol and Controlled Substances

Sexual Harassment & Bullying
- UW-Madison Policy on Sexual Harassment and Sexual Violence
- UW-Madison Policy on Consensual Relationships
- UW-Madison Policy on Hostile and Intimidating Behavior
- UW-Madison UHS Survivor Services & Community Resources
- UW Madison Title IX Incident Reporting Page
- UW-Madison Police Department or 911 if emergency

Equity/Bias Incidents
- UW Madison Bias/Hate Incident Reporting Page

General Conflict Resolution
- Geoscience Graduate Student Handbook Section A.5 "Conflict Resolution"
- Department of Geoscience Graduate Studies Chair
- UW-Madison Graduate Schools "Grievances and Appeals" Process
- The Dean of Students office is ready and able to assist undergraduate and graduate students (see, e.g., http://www.students.wisc.edu/doso/non-academic-misconduct or similar sites).
- Graduate students also have the option to discuss issues with the office of the Dean of the Graduate School.
- UW-Madison Whistleblower Law
- Crisis Intervention Strategies

Appendix III: Additional Links and Resources

Department of Geoscience Diversity and Inclusion Committee
- Diversity and Inclusion Committee - Membership is open to any geoscience faculty, staff, and students (graduate and undergraduate). Working with the Department, the committee will: 1) Continue to collect information regarding trends in diversity and departmental climate; 2) Provide a forum for identifying and addressing any systemic issues related to diversity and inclusion within the department; and 3) connect resources to individuals with concerns about diversity and inclusion within the department. The e-mail listserv for the full committee is geo-divein@geology.wisc.edu. If you would like to be added to this listserv or have questions or other matters that you would like to bring to our attention, please contact the chairs of the committee: Brooke Norsted (brooke@geology.wisc.edu) or Chris Zahasky (czahasky@wisc.edu).

HR and Compliance Links
- UW Madison Office of Compliance
- UW Madison Graduate Assistant Policies
- TAA Guide to Workplace Abuse Policy
- UW System Code of Conduct for Employees
- Office of Student Conduct
- Office of Secretary of Faculty Governance and Workplace Challenges

Diversity and Inclusion Links
- UW Madison Ombuds
- UW Madison Diversity Office
    - Specific resources for Faculty and Staff
    - Graduate Assistants Equity Workshops
    - Multicultural Graduate Network
    - L&S EDI Hub

Geo-Ethics Links
- AGU Ethics Portal
- ADVANCEGeo
- American Geosciences Institute: Guidelines for Ethical Professional Conduct
- Center for Study of Ethics in the Professions
- Geological Society of America: Code of Conduct
- American Association for Petroleum Geologists: Code of Ethics
- Restorative Dialogue Guidelines Example
- The National Science Foundation has recently introduced policies for reporting harassment or discrimination of any kind in the context of NSF-sponsored research; see https://www.nsf.gov/od/odi/harassment.jsp.

Health & Mental Health Links
- UW HR Confidential Mental Health Services
- University Health Services

Field Best Practices
- ADVANCEGeo field guides
- ***Link to dept guide once created?***

Appendix IV: Syllabus Language for Geoscience Courses

Department Code of Conduct

The UW-Madison Department of Geoscience expects all faculty, staff, teaching assistants, students, and visitors to abide by its code of conduct, as a respectful and professional environment is vital to scientific productivity and educational success. Please familiarize yourself with the code of conduct here (link to code page on website). If you have questions about the code of conduct or would like to talk to someone about violations of the code of conduct, please contact the Department Ombuds or Department Chair, or any other key contacts listed in the code.

Appendix V: Field Trip Planning Support

In order to support field best practices we have included the checklist below that includes recommended considerations and resources. Future work will create standardized forms for such items as the race risk assessment (see section A.1 below). As this checklist is not exhaustive, we **strongly encourage supervisors to self-educate.**

Suggested resource: *Demery, A.J. & Pipkin, M. Safe Fieldwork Strategies for At-Risk Individuals. (2020) doi:[10.20944/preprints202008.0021.v1](https://doi.org/10.20944/preprints202008.0021.v1)*.

Pre-Trip Checklist

    A. Fieldtrip Safety Assessment
        1. This should include a racial risk assessment: *Prior-Jones, M., Pinnion, J., Millet, M.-A., Bagshaw, E., Fagereng, A., and Ballinger, R.: An inclusive risk assessment tool for travel and fieldwork, EGU General Assembly 2020, Online, 4–8 May 2020, EGU2020-7678, https://doi.org/10.5194/egusphere-egu2020-7678*
        2. Ideally a form/page that is updated after every visit to include new hazards/itinerary changes made in response to safety concerns.
    B. Survey of students that will inform trip-planning such as meals, accommodations, healthcare access, etc.
    C. Packet with daily logistics to be handed out ahead of the trip (ideally with enough time to get feedback and make adjustments)
        1. Bathroom, menstruation considerations. **Strongly encouraged reading**: *Toilet stops in the field: Greene, S., Ashley, K., Dunne, E., Edgar, K., Giles, S., & Hanson, E. Toilet stops in the field: An educational primer and recommended best practices for field-based teaching. (2020), https://doi.org/10.31219/osf.io/gnhj2*
        2. Food considerations (when, what)
        3. Distance to nearest emergency room
        4. Communication plan, exit plan if an individual needs to leave the field.
    D. Gearlist
        1. Summary of risks in the field (terrain, weather, flora, fauna, culture, etc.)
        2. List of required equipment (ideally with explanations of purpose)
        3. List of supplementary equipment (not required, with explanations)
        4. Resources for gear (Dept Gear Library, discount sites, etc.)
        5. Bathroom equipment (required and recommended) with a description of facilities (or a plan if no facilities are available). If no facilities, trip leader should address how to bathroom in the field (see publication, this Appendix section B.1)
        6. Common "comforts": preferred snacks/beverages, coffee mug, headphones for sleeping/bus rides, etc.
        7. Offer University hats, lanyards for IDs to minimize confrontation with locals (if this is a concern, this Appendix section A.1)
    E. Safety Training
        1. If trip planning does not allow for participants to attend the personal safety short course (See Section II, "*Practice and promote appropriate field conduct*"), offer separately or require a reading of the short course material (i.e. a powerpoint) with short comprehension quiz.

2. Identify two safety officers (ideally not both faculty members in order to encourage reporting) with field experience
   a) Goal is to have individuals report concerns, comments, issues in real time
   b) Keep track of any hazards, risks encountered. These will be part of the annually updated report for this field trip stop (see this Appendix section A.2)