COLDEX Integrity and Professional Ethics Policies

Last update: November 21, 2023

Overview

The Center for OLDest Ice EXploration (COLDEX) is committed to ethical and responsible conduct of research, intellectual property rights, a welcoming, fair and open culture, and inclusive leadership. This Integrity and Professional Ethics Policies document outlines policies intended to maintain that commitment. All COLDEX participants and others involved in COLDEX activities are expected to adhere to the policies outlined in this document.

- Responsible Conduct of Research Policy
- COLDEX Publication Policy
- Ethical Conduct in Field Research Policy
- Equity and Inclusion Policy
- Data Sharing Policy

Definitions

- A **COLDEX Member** is a person who joins the COLDEX communication channels and participates in COLDEX-related activities at any level. This category encompasses the more specific "Participant" and "Affiliate," defined below. Although most Members are affiliated with one of the 15 COLDEX member institutions, participation is not limited to COLDEX institutions. All members must commit to following the policies outlined herein as well as any other COLDEX community-agreed policies and protocols.
- A **COLDEX Participant** is any member of COLDEX who participates in COLDEX-related activities (including but not limited to research, education, knowledge transfer, or diversity, equity, and inclusion efforts) at least 160 hours in a year. This definition includes members who do not receive funding from the Center award. Note that 160 hours is the definition of a "participant" for NSF progress reporting. Membership in COLDEX does not require 160 hours of effort per year. This category includes individuals served by COLDEX educational activities such as the Research Experiences for Undergraduates program, School of Ice, or Project Ice.
- A **COLDEX Affiliate** is a person who is not affiliated with one of the 15 COLDEX member institutions but who joins the COLDEX communication channels and participates in COLDEX-related activities.
- An **Early Career Researcher (ECR)** is a graduate student, postdoctoral researcher, or post baccalaureate Member or Affiliate.
- An **Undergraduate** is a Member or Affiliate in a 2 or 4 year (Associate or Bachelors) degree program.

Community Norms and Values

COLDEX values the open and honest exchange of ideas, data, and technology. All members of the COLDEX community are expected to engage in improving diversity, equity, and inclusion. The COLDEX leadership team commits to transparent and inclusive leadership, organization, and management. Across all COLDEX activities, COLDEX Members commit to:

1. Acknowledging and being open to the ideas, questions, and concerns of others.
2. Acting in good faith and assuming others are doing the same.
3. Following through on commitments to COLDEX goals and activities.
4. Respecting others' time.
5. Not engaging in harassment, discrimination, and bullying; calling out these behaviors when observed.
6. Creating and supporting an inclusive environment that is welcoming to all ethnicities, national origins, genders, sexualities, ages, physical abilities, lifestyles, and levels of education.
7. Facilitating open discussions that allow all Members, at all levels, to contribute and disagree in constructive, non-personal, and respectful ways.
8. Professional courtesy in all aspects of our work.
9. Treating everyone equitably and fairly.
10. Sharing COLDEX data as required by COLDEX and National Science Foundation (NSF) data policies.
11. Giving credit to others in papers and presentations consistent with COLDEX Publication Policies.
12. Being open to contributions to papers and publications from Members across COLDEX and actively seeking contributions from Members across COLDEX research teams as much as possible.
13. Following ethical standards in scientific conduct, including our own institutional standards, those outlined here, and those outlined in NSF guidance and policies.
14. Following legal and COLDEX requirements about intellectual property, including adherence to the COLDEX Intellectual Property Plan.
15. Maintenance and preservation of research notes, records, designs, data, and results in forms that allow evaluation and replication of results.

Reporting and Conflict Resolution

COLDEX participants concerned about ethical or scientific integrity, including problematic behavior in lab, field or other settings, can make their concerns known and seek mediation in a variety of ways.

- Concerns, complaints, or any other form of feedback can be submitted to the COLDEX Feedback Portal or brought directly to any member of the Feedback Review Committee. The Feedback Review Committee will work to resolve conflicts and concerns following the established protocol.

- Additionally, concerns or complaints can be brought to any member of the Executive Committee. The Executive Committee will then work to address and resolve the concern or complaint, and committee members will recuse themselves if they have a conflict of interest in the situation. Any concerns requiring legal or other official institutional action will be referred to the appropriate entity at Oregon State University (OSU) or other COLDEX institutions. Note that anonymity can not be guaranteed when using this feedback pathway.
- Participants can report concerns of possible research misconduct directly to the OSU Research Integrity Officer or relevant official at their institution (see contact information below). The OSU Research Office and the Office of Equal Opportunity and Access have established procedures to ensure compliance with the NSF's Notification Requirements Regarding Findings of Sexual Harassment, Other Forms of Harassment or Sexual Assault.
- Participants also have access to OSU's Accountability and Integrity Hotline (https://leadership.oregonstate.edu/oarc/report-concerns-hotline) for anonymous reporting. Participants are reminded that it is their responsibility to understand and follow the policies of their institution, including reporting and disclosure requirements. Reporting through OSU's Accountability and Integrity Hotline might not meet their university/agency's requirements.
- The OSU Ombuds Office is another avenue for COLDEX members to address concerns. The Ombuds promotes a civil and inclusive campus community by providing informal, impartial, and confidential conflict management services to all members of the university community, including collaborators from outside OSU. The Ombuds assist with individual concerns through service and education, and serve as change agents to address group conflict and systemic concerns (https://ombuds.oregonstate.edu/).
- The National Science Foundation has a reporting mechanism in the Office of Equity and Civil Rights that is also available to COLDEX participants (https://www.nsf.gov/od/oecr/complaint_form.jsp).
- The COLDEX Director for Field Research and Data (or designee) is a primary point of contact for misconduct during field work, and contact information will be provided to deploying participants. In addition to any other reporting, misconduct during Antarctic field work should be reported to the NSF representative on site at McMurdo Station or the McMurdo Station manager (both are NSF employees). COLDEX members and leadership will also report such misconduct to NSF if they become aware of it.
- Misconduct in field, laboratory, meeting, or other settings related to COLDEX activities will not be tolerated. Violations of principles outlined here will be investigated by the Executive Committee and may result in temporary or permanent suspension of participation in COLDEX activities and funding.

Contact Information for Institutional Reporting

Institution	Contact for Research Integrity Violations	Contact for Equity and Sexual Harassment Violations
Oregon State University	Director of Responsible Research Practices: 541-737-9502; lisa.leventhal@oregonstate.edu Ombuds office: 541-737-4537; ombuds@oregonstate.edu	Office of Equal Opportunity and Access: 541-737-3556; https://eoa.oregonstate.edu/webform/contact-us Ombuds office: 541-737-4537; ombuds@oregonstate.edu
American Meteorological Society	Violations of Code of Conduct should be reported to the executive director, the secretary-treasurer, or the Education Director. Executive Director: 617-226-3901; skafka@ametsoc.org Secretary-Treasurer: 402-658-4029; sec-treas@ametsoc.org Education Director: aprice@ametsoc.org	Violations of Code of Conduct should be reported to the executive director, the secretary-treasurer, or the Education Director. Executive Director: 617-226-3901; skafka@ametsoc.org Secretary-Treasurer: 402-658-4029; sec-treas@ametsoc.org Education Director: aprice@ametsoc.org
Amherst College	Director of Institutional Research: 413-542-5485; jbarba@amherst.edu	Director of Civil Rights and Title IX Coordinator: 413-542-5707; lfrankl@amherst.edu
Brown University	Office of Research Integrity: 401-863-3050; ORI-admin@brown.edu	Title IX and Gender Equity Office: 401-863-2026; titleixoffice@brown.edu
Dartmouth College	Director of Research Integrity: 603-646-0239; Henrike.Frowein@dartmouth.edu	Title IX Office: 603-646-0922; TitleIX@dartmouth.edu
Princeton University	Office of Research Integrity and Assurance: 609-258-3105; ria@princeton.edu	Sexual Misconduct/Title IX Coordinator: 609-258-6110; mminter@princeton.edu
University of California Berkeley	Office of the Vice Chancellor for Research: 510-642-7540; research@berkeley.edu	Office for the Prevention of Harassment and Discrimination: 510-643-7985; ask_ophd@berkeley.edu
University of California Irvine	Director of Research Policy: 949-824-1410; jill.kay@uci.edu	Office of Equal Opportunity and Diversity: 949-824-5594; oeod@uci.edu
University of California San Diego	Research Compliance and Integrity Office: 858-822-4939; rci@ucsd.edu	Office for the Prevention of Harassment & Discrimination: 858-534-8298; ophd@ucsd.edu
University of Kansas	Director of Research Integrity: 785-864-4148; sumac@ku.edu	Office of Civil Rights & Title IX: 785-864-6414; civilrights@ku.edu

University of Maine	Director of Research Compliance: 207-581-1480; amanda.l.ashe@maine.edu	Office of Equal Opportunity: 207-581-1226; equal.opportunity@maine.edu
University of Minnesota Duluth	Office of Institutional Research: umdoir@d.umn.edu	EOAA Associate & Title IX Coordinator: 218-726-8809; chri2595@d.umn.edu
University of Minnesota Twin Cities	Research Risk Intelligence and Compliance: 612-625-3394; riact@umn.edu	Equal Opportunity and Affirmative Action: 612-624-9547; eoaa@umn.edu
University of Texas at Austin	Office of Research Support and Compliance, Research Integrity: 512-471-8871; rise@austin.utexas.edu	Title IX Office: 512-471-0419; titleix@austin.utexas.edu
University of Washington	Office of Research Central: 206-616-0804; research@uw.edu	Office of the Title IX Coordinator: 206-221-7932; titleix@uw.edu

Responsible Conduct of Research Policy

Individual commitment to responsible conduct of research (RCR) will be demonstrated through completion of formal training programs and maintained through mentorship and the promotion of a Center culture that facilitates scientific integrity while discouraging harmful and detrimental research practices. The range of activities in COLDEX results in the need for training in a variety of ethical and responsible conduct issues, including treatment of data, treatment of people, and safety and ethical behavior in field work. COLDEX may also encounter issues that arise in large, multi-institution collaborations, such as appropriate authorship credit on large team papers and acknowledgement of scientific ideas that arise within collaborations. These guidelines aim to prevent these issues before they arise by informing all COLDEX participants of Center-wide research policies and procedures.

The following RCR policies and procedures will be implemented in COLDEX.
1. All participants will either a) be up to date on RCR training required by their individual institution or b) complete RCR training provided by Oregon State University through the Collaborative Institutional Training Initiative (CITI). Compliance will be reviewed as part of annual reporting.
2. COLDEX will offer specialized training and facilitated discussions around responsible conduct in field research for each field team deploying annually (also see Ethical Conduct in Field Research Policy, below).
3. RCR training requirements will be established in student and postdoc professional development plans (PDPs).
4. RCR training and discussions will be incorporated in COLDEX Research Experiences for Undergraduates (REU) activities and Early Career Researcher (ECR) training and professional development workshops.

COLDEX Publication Policy

To ensure that the contributions made by COLDEX participants are equitably recognized, we expect all participants to adhere to the following policies.

1. Co-authorship should be granted to anyone who has made a significant contribution to the conception, research, data collection, analysis, or writing of the paper. All co-authors also agree to share responsibility for reading and approving the final version of the paper.
2. Early Career Researchers (ECRs) will be encouraged and enabled to lead and play major roles in the publication of COLDEX research. Senior researchers are expected to invite any ECRs who participate in the research project to contribute to its publication.
3. Authorship order generally should be appropriate to the contributions made by each author, with special effort to ensure recognition of contributions of early career researchers. When in doubt about who should be included as co-authors, the lead authors should consult the COLDEX Director or Executive Committee for guidance.
4. A list of planned publications and presentations, including lists of coauthors, will be maintained and made available to all COLDEX participants.
5. Any participant who feels that their contributions should be recognized can contact the Director, Managing Director, or another member of the Executive Committee to raise their concern, which will be addressed by the executive committee. ECRs may also choose to bring their concerns to the ECR Committee, who can then raise the issue with the Executive Committee.
6. All participants are welcome to suggest additional contributions they could make to planned publications by contacting the authors directly or discussing the possibility with COLDEX leadership, a member of the Executive Committee, or a mentor within COLDEX. Authors should be receptive to these suggestions. If authors have concerns about the suggested contributions, they should discuss their concerns with a member of the Executive Committee.
7. Abstracts of all journal articles, book chapters, popular publications or other similar communications, including coauthor list, will be provided to the Managing Director for circulation to all COLDEX participants, as early as possible but no later than 2 weeks before planned submission date, as a final check for possible conflicts about co-authorship or credit for the publication or the work it describes. If it is not clear whether a paper or other contribution is sufficiently tied to COLDEX support to warrant this disclosure, the author should contact the COLDEX Director for guidance. Participants who feel that their contributions have not been recognized can contact the Director, Managing Director or another member of the Executive Committee to raise their concern, which will be addressed by the Executive Committee.
8. COLDEX may from time to time publish "community papers" reporting major results with "COLDEX Community" listed as the lead author. In this case we will strive to be as inclusive as possible with co-authorship credit within the guidelines above, and the Executive Committee will engage with the whole COLDEX community prior to submission of such papers to ensure appropriate credit.

9. All publications resulting from COLDEX activities will include a standard COLDEX acknowledgement statement: *This work was supported by the Center for Oldest Ice Exploration, an NSF Science and Technology Center (NSF 2019719). We thank the NSF Office of Polar Programs, the NSF Office of Integrative Activities, and Oregon State University for financial and infrastructure support, and the NSF Antarctic Infrastructure and Logistics Program, the US Ice Drilling Program, the NSF Ice Core Facility, and the Antarctic Support Contractor for logistical support. We thank the U.S. Ice Drilling Program for support activities through NSF Cooperative Agreement 1836328. <Add more specific acknowledgements here and modify as needed>*

Special Consideration for Graduate Student and Postdoctoral Researcher Participant Projects

COLDEX recognizes that early career participants, specifically graduate students and postdoctoral researchers, depend on publishing first-authored research as part of their career development. A clear understanding of the research and publication plan for each graduate student and postdoc is necessary to avoid conflicts and ensure a productive career pathway. Professional development plans (PDPs) for each graduate student and postdoc will outline probable research topics, publications, and authorship expectations, and involvement in other COLDEX activities including Education, Knowledge Transfer, and Diversity, Equity, and Inclusion projects, for each individual. These plans will be reviewed by the Director for Education who will work with the Executive Committee, the individual, and mentors to identify and resolve potential conflicts early in the process. The PDPs will be updated annually in facilitated sessions with the graduate student or postdoc and their mentor, with the recognition that research plans evolve over time.

Ethical Conduct in Field Research Policy

All COLDEX members will commit to ethical, respectful, inclusive, and safe conduct in field research. Prior to deployment, all field teams will participate in facilitated discussion and training about ethical conduct in field research led by the Director for Diversity, Equity, and Inclusion and the Director for Field Research and Data. The COLDEX Director for Field Research and Data is a primary point of contact for misconduct during field work, and contact information will be provided to deploying participants. Misconduct during Antarctic field work should be reported to the cognizant National Science Foundation officials as well as COLDEX leadership, and COLDEX members and leadership will also report such misconduct to NSF if they become aware of it.

Equity and Inclusion Policy

All COLDEX community members will support each other and the leadership towards creating an inclusive environment that is welcoming of all ethnicities, national origins, genders, sexual orientations, physical abilities, lifestyles, age groups, levels of education, and other differences at each institution, at meetings, and in the field. All members will participate in inclusive leadership workshops and diversity, equity, and inclusion training offered by COLDEX.

The following policies and practices support these goals.

1. Do not harass or alienate anyone. Be mindful of jokes, comments, and other behavior that could be harassing, including micro/macroaggressions - it is each Member's responsibility to educate themselves as much as possible on these behaviors. Be aware of institutional policies and reporting requirements about harassment. Be willing to challenge or report such inappropriate behaviors if you witness them.
2. Be mindful of the impact of substances in professional and social activities. Specifically, crude language and rowdiness, often associated with alcohol use, can isolate members of a team. Harassment related to alcohol consumption may result in a no-alcohol policy and perpetrators will be required to leave the meeting, event, or activity. Consider planning more inclusive activities that do not involve or do not center alcohol consumption.
3. Avoid misgendering anyone and always use correct pronouns. If you're unsure, ask! If you make a mistake, apologize. Continuously misgendering people is a form of harassment and will not be tolerated.
4. Give support, encouragement, and leadership roles (with guidance) to Early Career Researchers.
5. Listen to input from all team members. When challenging ideas or behaviors, in whatever context, be constructive, non-personal, and respectful.
6. For field work in particular:
   a. Recognize that harassment, including sexual harassment, is a recognized problem in field research. A recent study of researchers in the field (Nelson, R.G., Rutherford, J.N., Hinde, K. and Clancy, K.B.H. (2017), Signaling Safety: Characterizing Fieldwork Experiences and Their Implications for Career Trajectories. American Anthropologist, 119: 710-722. https://doi.org/10.1111/aman.12929) highlighted positive and negative examples of behavior during field work. Examples of sexual harassment from this paper included but were not limited to: unwanted flirtation or verbal sexual advances, propositions, and jokes about physical appearance or intelligence that were sexually motivated or gendered. Examples of sexual assault include cases of unwanted physical contact, including physical intimidation, forced kissing, pressing genitalia on the respondent's body, attempted rape, and rape.
   b. Be aware of, and sensitive to, cultural expectations. Be considerate of needs for personal space, sharing camp responsibilities equally, the need to discuss medical and bodily functions ahead of time, and more.

c. Safety is our highest priority in the field. Respond to all team members' concerns. Allow people to opt out of or to veto situations in which they feel unsafe – discuss risk assessments and risk mitigation activities ahead of time with the group.

d. Consider how "field team culture" is important for helping those from under-represented groups feel included (Laura D. Carsten Conner, Suzanne M. Perin & Erin Pettit (2018) Tacit knowledge and girls' notions about a field science community of practice, International Journal of Science Education, Part B, 8:2, 164-177, DOI: 10.1080/21548455.2017.1421798).

Violations of these values and norms will be reported to COLDEX leadership, and/or the appropriate institution (including but not limited to the university that employs the violator, NSF, or USAP). Possible actions may include immediate removal of the harasser from the field site or environment. All COLDEX participants are expected to report any violations witnessed to COLDEX leadership or through alternate means described in this document.

Data Sharing Policy

All COLDEX participants will share data internally and externally consistent with the [Data Management and Sample Allocation plan](). The Executive Committee will review data production and adherence to policy. Conformance to data policies is a condition of participating in Center programs and funding.