

Developing harassment policies for publishing

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Learning from other AAAS policies

- Employee Handbook – CEO message and Harassment Policy
- Meetings Code of Conduct Policy
- Fellows Revocation Policy approved by the Council & Board
- Sea Change
- Societies Consortium on Sexual Harassment in STEMM

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AAAS SEA CHANGE

See change with STEM Equity Achievement

STEM Equity Achievement (SEA) Change supports institutional transformation in support of diversity and inclusion, especially in colleges and universities.

SEA Change's self-assessment, metrics, and certification program advances systemic institutional and departmental reform to create success in higher education and research missions. This success is achieved by ensuring that the full range of student and faculty talent can be recruited, retained, and advanced in science, technology, engineering, medicine, and mathematics for the roles and excellence achieved by leading all major STEM fields. SEA Change focuses on structural barrier removal for women, Blacks, Hispanics, Native Americans, and people with disabilities, as well as others who are marginalized. Student success, faculty thriving, and successful processes that developed for the Athena SWAN program by the Equality Challenge Unit (ECU) in the United Kingdom. SEA Change certification aims to be a truly transformative force for positive, sustainable change in higher education at all levels in the United States.

<https://seachange.aaas.org>

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AAAS
SEA CHANGE

Based on UK Athena Swan program

Promoting Climate Change at Institutions

Reward with Certification Levels – similar to LEED certification for buildings

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SOCIETIES CONSORTIUM

ON SEXUAL HARASSMENT IN STEMM

An initiative to advance professional and ethical conduct, climate & culture

100 Inaugural Members

- Climate change through professional societies
- Model frameworks, toolkits and services
- Flexible and customizable
- Effective and efficient development of policy & practice

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<https://www.sciencemag.org/news/2019/03/nih-may-bar-peer-reviewers-accused-sexual-harassment>

NIH may bar peer reviewers accused of sexual harassment

By Jocelyn Kaiser Mar. 27, 2019, 4:50 PM

The National Institutes of Health (NIH) in Bethesda, Maryland, reminded the research community this week that the agency can—and sometimes does—bar scientists accused of sexual harassment from serving as peer reviewers. **The bar is lower than the standard to remove an investigator from a grant, say NIH officials, because of their concern about “the integrity of the process.”**

Noni Byrnes, the newly appointed director of NIH’s Center for Scientific Review (CSR), explained in a 25 March [blog post](#) that allegations of sexual harassment could bias a reviewer’s score for a research proposal even if they are ultimately found to be innocent. . . . NIH “can exercise our discretion to exclude” such individuals from its pool of 18,000 reviewers, Byrnes explained. Such a step “is not meant to be punitive, or to imply guilt on the part of the accused,” Byrnes writes. “It is intended simply to protect the integrity of our scientific review process.”

The policy is not new, Byrnes told *ScienceInsider*. NIH has routinely declined to use some potential reviewers for reasons that range from a conflict of interest to the simple fact that a person is chronically late turning in reviews.

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Thinking about harassment policies for editors, authors, reviewers and advisors

- Editors and advisors are a critical piece of a journal's reputation
- Current push to credit scientists for their reviewer activities
- Transparent peer review --including reviewer comments and/or reviewer identity with the paper online
- Increased awareness of harassment through social media
- Publication record is an important part of career advancement
- Some policies equate professional misconduct with scientific misconduct

“Especially if some [allegation] got out in the press, everyone around the table knows, the applicant pool knows, the person is listed on our roster,” Byrnes explains. “To me, that compromises the strength and rigor of our process. Why not defer it until everything gets resolved?” And, she adds, “If we find out there’s no issue and they’re innocent, we will invite them back and that person is back in and one of the 18,000.”

NIH’s policy for researchers involved in sexual harassment specifies that a principal investigator can lose a grant only after being put on leave or removed by their institution for any reason. The argument is different for peer review, says Byrnes, because “the integrity of the process is a prime driver.” And unlike losing grant funding, “Not attending a [study section] meeting in October is not going to kill [an investigator’s] lab.”

Can the Societies Consortium approach be a guide?

Working together on developing policies to change conduct that affects work and learning environments is more efficient.

Harassment drives people out of the field. Peer review and credit for authorship are not immune from harassing behaviors.

Highlights the need for bridge building with Institutions to collaborate on incident response and coordination and information sharing.

Recommends deferring action to get sufficient information.

Emphasizes that no individual's interest be given greater weight than the interests of the field—when the two must be balanced.

Can the Societies Consortium approach be a guide?

- Nine general principles for effective policy design
 - Conduct as a barrier
 - Prevention
 - Conduct & Science for Excellence
 - Fairness
 - Best Interest of the Field
 - Honors & Conduct Questions
 - Consequences & Restorative Remedies
 - Breadth of Honors Policy
 - Community & Bridge Building
- Questions to consider when working through a policy
 - Scope of Policy
 - Professional/Personal Conduct
 - Cultural Differences
 - Academic Freedom/Free Speech/Legal framework
 - Capacity to Investigate
 - Perceptions
 - Balancing Field and Individual Interests

Preliminary Thoughts

- Are the policies the same for all roles?
 - Boards/Committees
 - Editors/Advisors
 - Reviewers
 - Authors
- Awareness of Conduct Issues—Require disclosure
 - a continuing obligation for the individual to disclose to the Publisher the existence of any fact, situation, or circumstance that could be considered relevant to the journal's decision to associate with the individual.
- Ask co-authors separately if there are individuals that should not be asked to review
- Ask reviewers if the contribution statement seems plausible.
- How do you protect publication programs from consequences of being proactive? Avoid precipitous action.

Closing thoughts

- Need to reach out to authors and reviewers for ideas and buy-in
- Should CSE tackle this topic?
- Consequences are essential.
- No safe harbor for harassers.

Thank you!

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A Message from the Chief Executive Officer

Dear Colleague:

As a member of the AAAS staff, you are a key part of one of the largest and most prestigious professional societies in the world. AAAS embraces every field of science and engineering and uses its diverse resources to promote scientific inquiry and communication worldwide. Ultimately, the success of AAAS depends on the excellence of its employees. Thus, I am committed to developing an organizational culture that brings out the best in each one of you and one that will be guided by the following principles:

- AAAS is committed to diversity and inclusion and will endeavor to lead the science and engineering community through practice in our own organization.
- Employees have a right to a safe work environment that is free from all forms of harassment and violence.
- Employees have the right to a challenging work environment with an equal opportunity for advancement.
- Employees shall be given maximum responsibility in the execution of their jobs and will be evaluated, rewarded, and promoted fairly and objectively on the basis of performance.

The purpose of this Employee Handbook is to help contribute to the success that will come from following these principles. Today, as never before, science and technology are essential elements in our lives and the economic health and strength of our nation and the world. With your help and commitment, we can ensure that AAAS will continue to be a source of leadership for science and society in the future.

Sincerely,
Rush Holt

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SEXUAL AND OTHER UNLAWFUL HARASSMENT

It is AAAS policy that all employees have a right to work in an environment free of discrimination, which includes freedom from unlawful harassment based on sex, age, race, national origin, religion, sexual orientation, marital status, or membership in other protected groups protected by federal, state and local law.

AAAS prohibits harassment of its employees in any form by managers, co-workers, visitors, or suppliers, or anyone else with whom employees interact in performing their job duties. Failure to adhere to the AAAS policy against harassment may result in disciplinary action up to and including termination.

AAAS follows the guidelines that have been issued by the EEOC to the effect that unlawful harassment in the workplace constitutes discrimination in violation of Title VII of the Civil Rights Act of 1964.

No manager or other person shall threaten or insinuate either explicitly or implicitly that any employee's submission to or rejection of sexual advances will in any way influence any personnel decision regarding that employee's employment, evaluation, wages, advancement, assigned duties, or any other condition of employment or job development. Other harassing conduct based on any protected category, whether physical or verbal, committed by managers or others, is also prohibited. This includes slurs, jokes, or degrading comments concerning sex, age, race, national origin, religion, sexual orientation, marital status, or membership in other protected groups; repeated offensive sexual flirtation, advances, or propositions; continual or repeated abuse of a sexual nature; graphic verbal comments about an individual's body; and the display in the workplace of sexually suggestive objects or pictures. Such conduct may result in disciplinary action up to and including termination of the employee who harasses others. Sexual harassment does not refer to occasional compliments of a socially acceptable nature or welcomed social relationships

Employees who have complaints of harassment should immediately report such conduct to their manager and/or Human Resources. **No employee who reports sexual harassment in good faith or cooperates in an investigation will be punished or retaliated against, even if the charge is not sustained.** Information obtained during the course of an investigation of harassment will be maintained in confidence as much as possible, consistent with a thorough investigation and will be released only to individuals who have a need to know, including individuals who will enable AAAS to investigate charges thoroughly.

All employees are expected to cooperate fully with such investigations. Individuals who knowingly make false statements during the course of an investigation may be subject to disciplinary action up to and including termination. Where investigations warrant, appropriate corrective action will be taken. If it is determined that a complaint is an intentional fabrication, disciplinary action will be taken against the employee who fabricated the complaint. This policy also covers conduct by non-employees, visitors, and suppliers.

Non-employees whose conduct is considered harassment will be asked to leave the AAAS premises. An employee who is subject to such behavior or who observes it should immediately notify a manager or Human Resources

AAAS Meetings COC

What is Harassment?

- Harassment includes speech or behavior that is not welcome or is personally offensive, whether it is based on ethnicity, gender, religion, age, body size, disability, veteran status, marital status, sexual orientation, gender identity, or any other reason not related to scientific merit.
- It includes stalking, unnecessary touching, and unwelcome attention.
- Behavior that is acceptable to one person may not be acceptable to another, so use discretion to be sure that respect is communicated.
- Harassment intended in a joking manner still constitutes unacceptable behavior.
- Retaliation for reporting harassment is also a violation of this policy, as is reporting an incident in bad faith.

Meeting CoC

AAAS reserves the right to remove an individual from the meeting/event without warning or refund, prohibit attendance at future AAAS meetings, and notify the individual's employer.