



# AI-READI Code of Conduct

## Version History

Version	Publication Date	Description of changes	Identifier
All versions			<a href="https://zenodo.org/doi/10.5281/zenodo.7641649">https://zenodo.org/doi/10.5281/zenodo.7641649</a> This DOI represents all versions, and will always resolve to the latest one.
v1.0	February 14, 2023	First version	<a href="https://doi.org/10.5281/zenodo.7641650">https://doi.org/10.5281/zenodo.7641650</a>
v2.0	August 15, 2024	Updated the publication policy	<a href="https://doi.org/10.5281/zenodo.13328255">https://doi.org/10.5281/zenodo.13328255</a>

## Contributors

AI-READI:

Aaron Lee [aylee@uw.edu](mailto:aylee@uw.edu)

Julia Owen [jpowen@uw.edu](mailto:jpowen@uw.edu)

Bhavesh Patel [bpatel@calmi2.org](mailto:bpatel@calmi2.org)

Camille Nebeker [nebeker@ucsd.edu](mailto:nebeker@ucsd.edu)

Cecilia Lee [leecs2@uw.edu](mailto:leecs2@uw.edu)

Linda Zangwill [lzangwill@health.ucsd.edu](mailto:lzangwill@health.ucsd.edu)

Samm Hurst [shurst@health.ucsd.edu](mailto:shurst@health.ucsd.edu)

Sara Singer [ssinger@stanford.edu](mailto:ssinger@stanford.edu)

Jennifer Li-Pook-Tham [jennlpt@stanford.edu](mailto:jennlpt@stanford.edu)

Debra Matthews [dmathews@jhu.edu](mailto:dmathews@jhu.edu)

## Provenance

This code of conduct is adapted from the Bridge2AI Code of Conduct (DOI pending) with modifications to suit the AI-READI project. The Bridge2AI Code of Conduct itself was adapted from several others used in large consortia including the Bridge2AI Coordinating Center, the NIH Biomedical Data Translator (not published, located in NIH NCATS Translator Google Drive), the National COVID Cohort Collaborative (N3C) Consortium (N3C Consortium 2021), and the GenoPhenoEnvo Project (Munoz-Torres et al. 2020).

## Premise

This code of conduct outlines expectations for the affiliates of the AI-READI Data Generation Project, which includes paid and unpaid team members (e.g., faculty, staff, trainees, etc.), and describes how to report unacceptable behavior. We are committed to providing a welcoming and inspiring environment for all and expect this code of conduct to be honored. The AI-READI Code of Conduct is built on principles of Partnership, Inclusivity, Transparency, Integrity, Accountability, Security, and Mutual Respect and our success in applying these principles depends on the support and interactions of our community:

- **Partnership:** AI-READI community members are trusted partners committed to honoring the AI-READI Code of Conduct.
- **Inclusivity:** AI-READI will consider the contribution of data, code, or ideas from any organization or individual inside or outside the AI-READI Program.
- **Transparency:** Open processes and reproducible research are the hallmarks of AI-READI and good scientific practice. Descriptions of projects and resources are posted publicly and are searchable to promote collaboration (through the project's website [aireadi.org](http://aireadi.org) and the project's GitHub organization [github.com/AI-READI](https://github.com/AI-READI)). Every effort will be taken to accurately describe the process by which decisions were made in the development of the protocol, including any ethical considerations and the details of the data collection.
- **Integrity:** All involved in the AI-READI data generation process will carry out their responsibilities towards creating an ethically sourced, trustworthy and reliable data repository to advance future research.
- **Accountability:** AI-READI community members take responsibility for their activities and hold each other accountable for achieving the AI-READI objectives and applying good scientific practices.
- **Security:** All activities are conducted in accordance with national and institutional policies to ensure secure, access-controlled, ethical storage, access, and dissemination of data.
- **Mutual respect:** Communications should be professional, concise, clear, and relevant. Follow proper communication etiquette articulated below.
- **Awareness and Learning-orientation:** Cross-disciplinary dialogue is open, learning- and team-oriented, and seeks to use clear (understandable across disciplines) and equitable language. DGP practices and strives to be cognizant of diverse perspectives and to put ourselves "in the shoes" of research participants and trainees.

## Communication values

- **Be friendly, welcoming, and patient:** We expect cooperation from all members to help ensure a welcoming experience for everyone of all backgrounds and identities.
- **Be considerate:** Your work will be used by other people, and you in turn will depend on the work of others. Remember that we are a large community, representing different languages and cultures.
- **Be understanding and respectful:** Disagreements, both social and technical, happen all the time. It is important that we ensure disagreements are productive and differing views are respected. Be respectful in word, tone, and body language, invite dialogue and be willing to be wrong.
- **Communicate professionally:** We must be careful in the words that we choose. We are a community of professionals and should conduct ourselves professionally.
- **Be clear and concise:** Clear communication alleviates uncertainty. Aiming for short, direct sentences helps focus the message and get important information across efficiently.
- **Be curious and solution-focused:** Large projects come with big challenges. Focus on building solutions rather than on assigning blame.
- **Take space/make space:** We should each be mindful about how much time we spend talking versus listening and ensuring that we are doing both -- sharing our ideas and perspectives and making space for others to do the same.

## Communication etiquette

Implementation of minimum standards for appropriate communication can result in meaningful exchange across groups.

### *Keeping on Track*

- **Keeping Relevant.** Meetings are vital, expensive endeavors. All meetings should have agendas or topics for discussion. Attendees should feel free to ask questions and provide comments **relevant** to the discussion. If the question or comment is not directly relevant to the topic being discussed, participants are encouraged to ask if it can be addressed after the planned meeting topics.
- **Adhere to a Timebox.** Everyone should adhere to meeting **start and end times**, allowing for adequate time to conduct the meeting and for members to move to their next activity. If you are a key attendee or on the agenda, and you will be more than 5 minutes late or cannot make the meeting, inform the meeting leader in advance. When discussing your proposed agenda item, stay within your timebox and allow other topics their allotted time for discussion.

## *Audio and Visual Presence*

- **Mute** your audio when you are not speaking. Be courteous, allow others to complete their thoughts, and reduce interruptions. Always use the “raise hand” function to be called upon to speak during video conference calls.
- **Be present in meetings.** Turning on your **video** during conference calls helps you engage and builds trust and rapport; it lets virtual collaborators know that you are present. Participants are encouraged to turn on their video when speaking but are not obligated to do so.

## *Public and Private Messaging*

- **Messages/Chats** should be professional, concise, clear, and relevant. Avoid conflict, arguments, and ridicule over chat and in messaging.
- **Messaging/Chatting** can be useful and contribute to the discussion, but it can also be disruptive for the speaker, the audience, and members of the team in many circumstances. Refrain from messaging that may be disruptive or does not add relevance to the conversation. Contribute useful comments at the appropriate time.
- **Private chat and messaging.** Use private chat responsibly and courteously. Private chats can be used to not disrupt the meeting, if socially appropriate. Please note that private chats may be visible to all in recordings of meetings.

## *Respect and communicate team and personal boundaries.*

- **Communication Preferences.** Respect individuals’ communication preferences. For example, if someone indicates they wish not to receive private messages (e.g., Basecamp, Slack, Zoom), their request should be honored immediately.
- **Avoid Team Disruptions.** Inform your team when you plan to be away and plan appropriately for someone to cover your work during your absence, ensuring work that requires your involvement is addressed in advance. Set up an “out-of-office reply” email with a return date and alternate contact details.
- **Work-life Boundaries.** Be respectful of work/business hours and off time. Allow at least 1 business day for recipients to respond to your communications. It should not be expected that work is done during the weekends, Federal holidays, sick leave, or vacation leave.
- **Pronouns.** Pronouns refer to a person’s gender identity/expression, which must not be assumed solely based on physical characteristics as it refers to a person’s internal sense of their own gender, which may or may not align with the sex they were assigned at birth. It includes factors such as personal identification, self perception, and expression. Using someone’s correct pronouns demonstrates respect and inclusion in the environment. There are many actions everyone can take to foster a culture of inclusivity. For instance, consider sharing your pronouns (in your introduction or through digital communications such as email signature, Basecamp and Zoom name, etc.) and invite others to share theirs with you. Prioritize gender-neutral language in oral and written communications when adequate. Respect people’s privacy and do not share their gender identity or pronouns without their specific consent. If you make a mistake in using someone’s gender/pronoun, it is okay, just remember to acknowledge and apologize.

## Publication Policy

Any abstract or manuscript that arises directly from the DGP will be discussed and approved by the Steering Committee before it is submitted. Members of the Steering Committee may ask questions for purposes of shared learning, to ensure the accuracy of data and scientific methods, and to confirm that inclusivity with regard to publication authorship was given appropriate consideration. A vote to approve indicates satisfaction with these processes. Authors retain autonomy over the content of their work. If the committee does not approve the manuscript, the authors may still publish the manuscript, just not as an AI-READI/B2Ai paper or with AI-READI consortium in the authorline. In this case, authors must nevertheless acknowledge grant funding as instructed in the Notice of Award. This policy does not extend to secondary use of the de-identified data generated. All abstracts or manuscripts should be submitted to the Steering Committee and will be reviewed and voted upon. The authors should submit for consideration at least 4 weeks prior to any conference deadlines to allow for deliberation. Feedback will be provided back to the authors. In the event that a paper or abstract is voted down, the Steering Committee will provide constructive comments and aid the authors so that they may revise and resubmit to the Steering Committee. Any authors listed on the author-line should adhere to the ICMJE guidelines for authorship. The order of named authors on the authorline are at the discretion of main authors of the publication, and the authorline must include “on behalf of the AI-READI Consortium” at the end where the Consortium will include all of the AI-READI M-PIs.

## Diversity and Inclusion Statement

We encourage the widest possible community of investigators and organizations to participate in AI-READI, and we are committed to building an inclusive community for all. Although this list cannot be exhaustive, the AI-READI community honors diversity in race, ethnicity, culture, age, sex, sexual orientation, gender identity or expression, physical appearance, language, national origin, immigration status, political beliefs, profession, religion, socioeconomic status, family status, educational level, and mental, technical, or physical ability.

## Harassment: definition and reporting

Harassment and exclusionary behavior are unacceptable and will not be tolerated. AI-READI supports the NIH statement on anti-harassment: <https://www.nih.gov/anti-sexual-harassment>. **Harassment and exclusionary behavior include but are not limited to:**

- Violent threats or language directed against another person
- Discriminatory jokes and language
- Posting sexually explicit or violent material
- Posting (or threatening to post) other people’s personally identifying information (“doxing”), photography or recordings
- Personal insults, especially those using racist or sexist terms
- Inappropriate physical contact
- Unwelcome sexual attention
- Psychological bullying (e.g., gaslighting, microaggression)
- Advocating for, or encouraging, any of the above behavior

Harassment and exclusionary behavior **also includes offensive verbal comments related to:**

- Age
- Body size
- Disability
- Gender identity and expression
- Physical appearance
- Race
- Ethnicity
- Religion
- National origin
- Sexual orientation
- Deliberate intimidation
- Following
- Stalking
- Sustained disruption of talks or other events.
- In general, if someone asks you to stop an unwelcome behavior, then stop.

Repeated unsolicited or aggressive activity that attempts to manipulate or disrupt the AI-READI experience will not be tolerated. This includes any kind of communication that creates a hostile environment, such as public/private chatting, email, or verbal communication where others have asked for the communication to stop or have declared that the communication desist due to their discomfort.

All participants of the AI-READI Program will adhere both to i) this **Code of Conduct** as well as ii) all guidelines issued by the National Human Genome Research Institute (NHGRI) Office of Ethics, as it pertains to **Standards of Ethical Conduct** for awardees of U54 Programs and NHGRI as a whole: ([https://www.oge.gov/web/oge.nsf/resources\\_standards-of-conduct](https://www.oge.gov/web/oge.nsf/resources_standards-of-conduct)).

**Violations of the code of conduct should be reported to the relevant academic institution as well as to the respective module PI or a module co-PI if the infraction has been committed by the module PI. Any violation of this code of conduct will first result in a warning. Continued violation may result in corrective action, including, but not necessarily limited to, temporary or permanent suspension of AI-READI participation. A decision about appropriate corrective action in response to the reported behavior will be made by the Steering Committee and/or NIH as appropriate.** References:

- Munoz-Torres, Monica C., Ryan P. Bartelme, Michael Behrisch, Emily J. Cain, Remco Chang, Ishita Debnath, Bryan Heidorn, et al. 2020. *GenoPhenoEnvo Governance and Operations Manual*. <https://doi.org/10.5281/zenodo.3839120>.
- N3C Consortium. 2021. *Community Guiding Principles for the National COVID Cohort Collaborative (N3C)*. <https://doi.org/10.5281/zenodo.3979610>.