

The LUX-ZEPLIN Community Agreement

1. Introduction

This document describes the procedures that members of the LUX-ZEPLIN (LZ) collaboration have adopted to attempt to ensure a safe and positive work culture within the collaboration. The main objective of this Community Agreement is to establish a constructive workplace atmosphere in LZ and to address all behavior that contradicts this objective. When a collaborator joins LZ, they agree to abide by the LZ Community Agreement.

This LZ Community Agreement aspires to strengthen trust and mutual respect among collaborators to foster an inclusive and supportive collaboration environment allowing sound scientific research where everyone has the opportunity to reach their fullest potential dedicated to the advancement, application, and transmission of knowledge through academic excellence. Every LZ member should read this document, and follow both its spirit and letter, always bearing in mind that each of us has a personal responsibility to incorporate and promote the principles of the Agreement into our work.

This Community Agreement is applicable to all professional interactions involving an LZ member. Such interactions may include, but are not limited to, in-person, virtual, or phone communications with collaborators, as well as any social or professional gatherings related to the collaboration, whether they are formal or informal in nature. This Agreement does not replace or abrogate any LZ member's own institutional policies, regulations, requirements, reporting procedures or recommendations. All LZ members should make themselves aware of these and note that in some cases it may be more appropriate to seek guidance and report issues through home institutions where typically there exist considerable resources to support welfare in addition to reporting mechanisms.

This evolving document will be maintained by a Case Review Committee (CRC; see Sec. 5), reviewed annually in consultation with the LZ Diversity, Equity, and Inclusivity (DEI) Committee to incorporate evolution of understanding of best practice and lessons learnt. This can include recommendations on continuous training for ombudspeople and members of the CRC and other training received through the LBNL Employer & Labor Relations (ELR) Office.

2. Principles and goals of the Community Agreement

There are many principles that can help guide a strong and healthy community, with inclusivity, respect, effective communication, accountability, growth, and responsibility at the heart of this Community Agreement.

The LZ collaboration should strive to be inclusive of all its members, regardless of their age, race, ethnicity, sexual orientation, gender identity, gender expression, marital status, nationality, political affiliation, religious or philosophical beliefs, ability status, educational background, or any other characteristic. Diversity is a strength of any community; it brings different perspectives, experiences, and skills to the table. A strong

community celebrates and embraces diversity. LZ collaborators must refrain from any actions or statements that denigrate others on the basis of personal characteristics or beliefs.

Everyone should feel welcome and valued in LZ and act in concordance with a professional culture that fosters respectful interactions and a safe environment free of aggression, harassment, intimidation, bullying, bias, abusive conduct, or discrimination. Respect is crucial for a healthy community and should be at the core of all interactions and communication in LZ. Respectful and effective communication is essential for building strong relationships within any community and LZ members are encouraged to communicate openly and honestly with each other, to listen actively, and with empathy, especially in situations where care is required. Communication with empathy involves actively seeking to understand the perspectives and experiences of others, listening with an open mind, and responding with compassion and respect. This type of communication builds trust, strengthens relationships, and fosters a sense of community and connection. LZ members are also encouraged to help create a culture of checking-in with colleagues who may be struggling, in confidence, and with empathy and understanding. The value of a colleague's kindness and understanding during difficult situations cannot be overstated.

All members of a community should be accountable for their actions and behavior. Members of the LZ collaboration should acknowledge and take responsibility for their mistakes, and work to make amends. We all make mistakes; we can reflect, apologize, and, in most situations, move on. However, LZ members should recognise that even if we have good intentions, our actions can still have negative consequences, and it's important to be aware of and take responsibility for those consequences.

Our community should encourage such personal and collective growth, welcoming and offering opportunities for colleagues to learn that language acceptable to one person may not be to another, rectify errors in judgment or misunderstandings, and develop better communication for the benefit of the entire collaboration. Where unbecoming and particularly unapologetic conduct is witnessed, LZ members are encouraged to consider their role as active bystanders and to speak up and/or report the incident(s). Examples where such action is appropriate includes witnessing or experiencing intimidation, or any form of aggression, persistent or offensive disruption, harassment of any kind, including sexual or crude jokes and comments, displays of offensive images, or any unwelcome physical contact. LZ members should endeavor to receive active bystander training, such as the "5 D's" of bystander intervention from the DOE's Alternative Dispute Resolution Office, or similar training at LZ member institutions. LZ members should be supportive of colleagues who do report, recognising such actions are often not taken lightly, can be challenging and stressful for the reporting bystander, and that such active intervention or reporting is necessary to address difficult issues and develop an environment of safety and belonging within the collaboration.

LZ members should take the initiative to challenge their assumptions and seek to educate themselves on work to remove difficulties or barriers to success that colleagues may face. Senior LZ members and those in leadership positions should be aware of power dynamics between themselves and more junior colleagues and acknowledge the privilege they hold in different spaces. Such members should take responsibility to empower and amplify voices that are being excluded; work to ensure all have equal access to opportunities; and be receptive to dialogue on how to improve communication and working relationships. Receptivity to improved communication applies to all in LZ, including junior members, where respect for the experience and constructive feedback from senior members

is welcomed. Senior members and those in leadership positions should be aware that it is mandatory they report any instances of sexual misconduct.

Members of LZ are expected to exhibit responsible cooperation in research; to recognise that duplication or overlapping work is often appropriate and necessary in scientific research for cross-checks and quality assurance; that undesired overlaps can be readily resolved through the LZ physics coordination, working groups, and LZ management structures; and to be mindful to respect and acknowledge the work of others when presenting one's own. When reviewing the work of colleagues in working group meetings, internal project reviews, publications review, or anywhere else, LZ members have the responsibility to provide fair, constructive, impartial, and rigorous evaluations, as well as being receptive to constructive criticism and responsive to review. LZ members should recognise and acknowledge that the experiment is made possible by the joint effort of the entire collaboration, and that the entire collaboration has a legitimate and earned stake in its scientific results. No individual member of the collaboration can or should expect to see their particular perspective be the final one adopted in LZ operations, publications, results, or public presentations or communications and LZ members must not engage in any form of intellectual, technical, or scientific bullying or intimidation. The conduct of LZ collaborators must be based on dedication to the highest scientific and technical standards. Collaborators are expected to perform research in a well documented and ethically sound manner. Falsification of data or results, plagiarism, violations of the LZ Publication Policy, or any other scientific misconduct would be in violation of this Community Agreement.

All members of the LZ collaboration should respect the work-life balance choices of their colleagues and their working hours. It should also be recognised that LZ members may attend meetings in person or connect remotely with the understanding that there are many reasons for one choice over another including advice from managers, advisors and supervisors; personal health; care roles; accessibility concerns; financial constraints; consideration of greenhouse gas emissions; and more.

Finally, it is the responsibility of all members of the LZ collaboration to safeguard the spirit of this Community Agreement and not to abuse it for one's own benefit; such action would itself constitute a violation of the Agreement. This Agreement prohibits retaliation (such as threats, intimidation, reprisals, or other adverse actions) against any person who reports, assists someone with a report, or participates, in good faith, in an investigation or other process under this Agreement. Any such retaliation is a violation of this policy, independent of whether the report of conduct violation is substantiated.

3. Ombudspersons

LZ must have 2 ombudspersons at all times, nominated by the LZ DEI Committee from amongst the IB and ratified by the IB. The ombudspersons are elected for two years, with the term of each staggered by a year relative to the other. The ombudspersons will receive formal ombudsperson training as well as training in mediation.

The ombudspersons are not members of the CRC (see Sec. 5) but agree to step in to the CRC on a case-by-case basis if absolutely necessary. Such instances would include insufficient numbers in the CRC due to recusals following conflicts of interest, or other CRC member(s) absence. Any member of LZ may talk to an ombudsperson about any matter at all, irrespective of any other concerns. The primary role of the ombudspersons is to:

- serve as impartial, neutral parties who listen and offer advice on the proper course of action;
- direct LZ members towards appropriate next steps, if required and as appropriate, such as to the members PI; home institutional policies, particularly where there is an issue between LZ members from the same university or laboratory; the CRC; or law enforcement;
- facilitate communication between two or more parties, if requested;
- act as mediators between two or more voluntary parties who agree to keep details of any mediation confidential.

Any LZ collaboration member may and should contact an ombudsperson if they:

- would appreciate a confidential sounding board;
- would like a fresh, impartial perspective on a matter of concern;
- are unsure who to talk to about a problem or concern;
- would like help thinking through how to deal directly with a concern;
- are uncertain about taking a problem through other established channels;
- are concerned about, or would like to strategize on how to reduce the likelihood of, a small problem growing into a more serious issue;
- would like help communicating with another person or group, such as a supervisor, colleague, staff member, etc.;
- would like to maintain the greatest flexibility in addressing a concern;
- would like to engage in an informal non-escalating approach, where the next steps remain within the collaborator's control;
- would like to discuss strategies, possible options and/or learn about resources available to them for resolving a concern.

Any member of LZ can seek advice from the ombudspersons in confidentiality, without necessarily filing a report with the CRC, however, the ombudspersons will file a brief and fully anonymous (i.e., with no identifiable information) written report of all cases for the CRC records in order to keep track of the overall climate of the collaboration. Where a report cannot be produced without compromising the identity of the LZ member, this will be noted for collection of statistics with no other information. The only exceptions to ombudspersons maintaining confidentiality is imminent risk of serious harm to a person, in the judgment of the ombudsperson, or the order of a court with appropriate authority¹. Where an ombudsperson considers a matter to be too complex given their experience and professional training, they may recommend the matter be referred to the ombudspersons at the LBNL Strategic Partnerships Office.

At least one ombudsperson will be present at all in-person LZ collaboration meetings. If neither of the ombudspersons is able to attend the meeting, they shall appoint "meeting allies" (e.g., a previous ombudsperson). The meeting allies will temporarily act as ombudspersons for the duration of the meeting.

¹ *There is no recognized privilege for ombudspersons in U.S. courts along the lines of attorney-client confidentiality, spousal privilege, or similar. Ombudspersons are not mandatory reporters for Title IX and prohibited discrimination.*

Finally, it should be noted that any member of LZ is free to make a report to the CRC at any time irrespective of whether they have already had contact with an ombudsperson or not.

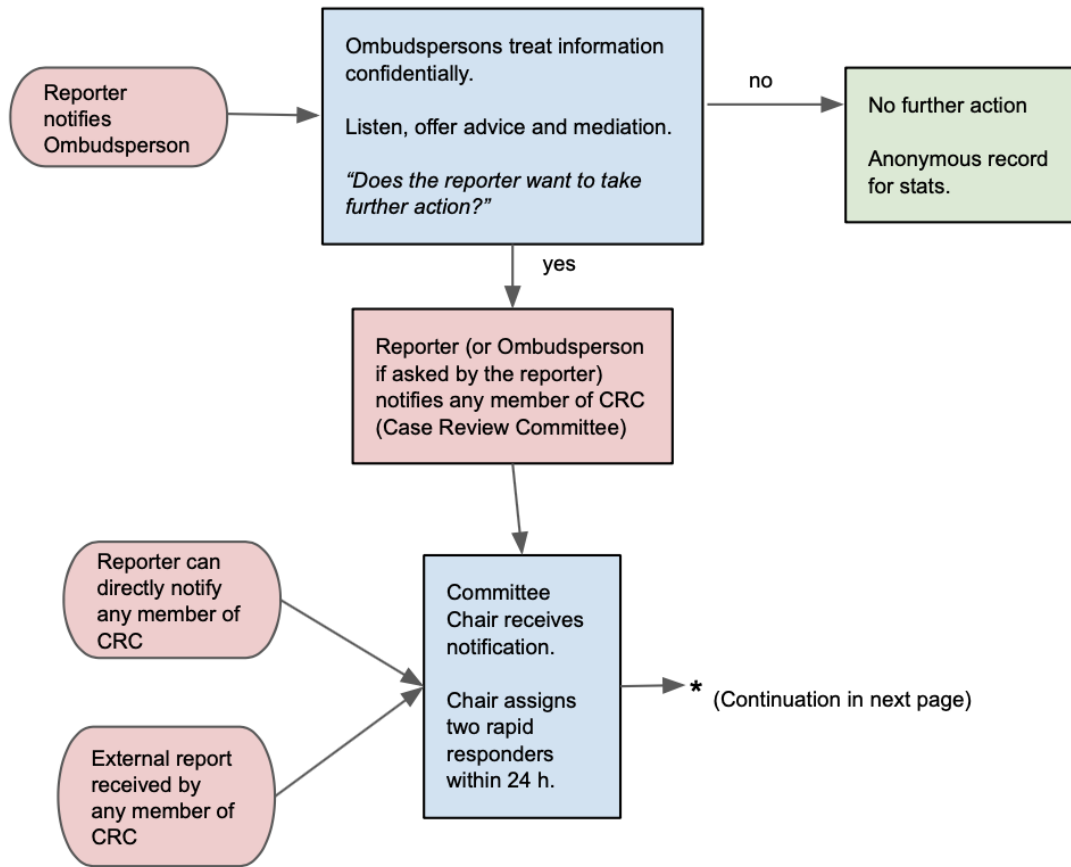
4. Reporting procedures

Potential violations of the CA can be reported by any member of the LZ collaboration to an Ombudsperson, or directly to a member of the CRC. To report a potential violation an LZ member can contact the ombudspersons or any member of the CRC, by email, slack message, telephone, or talking directly to them, in-person or remotely. After a potential violation is reported to an ombudsperson, the ombudsperson can mediate, if all parties agree. If any LZ member would instead like to report a potential violation to the CRC, they can ask the ombudsperson to do the reporting to the CRC on their behalf or they may directly report it themselves.

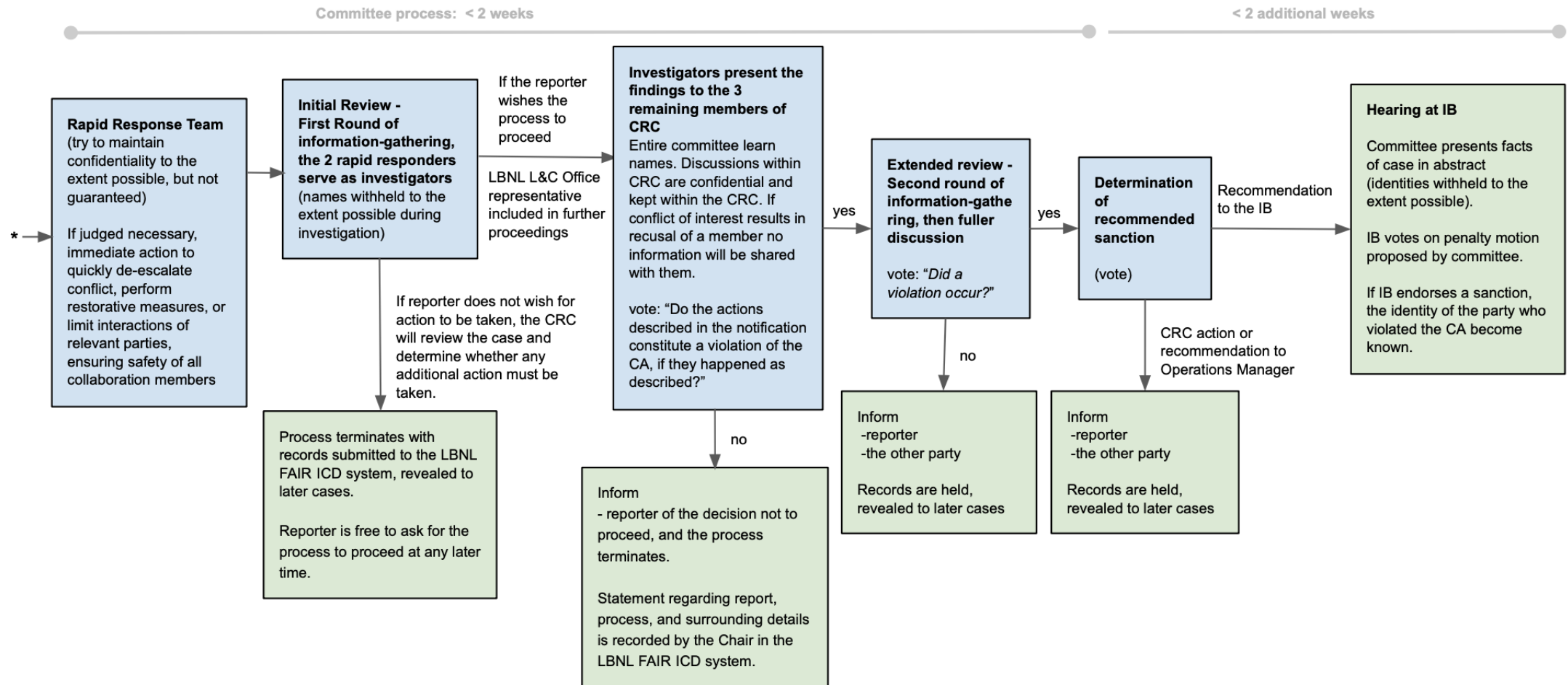
A flow diagram summarizing the reporting procedures is shown below. A detailed description of the reporting steps can be found in the following section (Sec. 5 “Case Review Committee”).

Illustrative examples of potential violations as well as possible responses, actions, or recommendations, can be found at the end of this Agreement, in the Appendix.

Reporting Procedure



Reporting Procedure



5. Case Review Committee (CRC)

The Case Review Committee (CRC) responds to reports from members of the collaboration relating to this Community Agreement to ensure accountability and to protect collaboration members from harm. When needed, a subset of the CRC will form a Rapid Response Team, whose role is to quickly de-escalate conflict if possible while also ensuring the safety of all collaboration members. In response to a report, the CRC will also collect and review available information, issue warnings or sanctions over violations of the CA, and, where deemed necessary, recommend potential further action to the IB.

5.1 Membership

The CRC will have 5 members. The CRC will elect a Chair from among the committee. The Chair of the CRC is considered a convenor level position and the Chair will appoint a Deputy Chair from within the committee. All CRC members will agree to undergo ombudsperson training at the first possible instance, as well as training with the LBNL FAIR office regarding their “Inquiries & Case Database” (ICD) reporting and retrieval system. The ICD system will be used to store notes from any cases arising in LZ and the system automatically checks for and tracks trends in case types as well as identification of repeat allegeders and repeat respondents. Nominations to the CRC will be checked against the ICD before being appointed to the CRC. The Chair of the CRC is responsible for sending information to the LZ FAIR Office contact for the ICD, as well as for handling any requests for retrieval of information by the CRC from the ICD.

The CRC membership will be elected by all active authors of the LZ collaboration. Only members of the LZ Institute Board (IB) are eligible for the CRC. An elected term is for 2 years, with staggered terms between members for continuity; i.e., 2-3 of the initial slate will serve 1-year terms and 2-3 will serve 2-year terms. Nominations for the CRC will be made to the Chair of the IB, who will announce them to the collaboration at least one week in advance of any vote. Any concerns about a nominee should be brought to the IB Chair during that week. The IB Chair will consult with the Spokesperson and nominees before proceeding to a vote. The current Spokesperson, IB Chair, and Physics Coordinator cannot serve on the CRC.

Discussions within the CRC are confidential and kept within the CRC. Information provided to the CRC is assumed to be shared openly within the committee unless a conflict of interest results in recusal of a member.

The CRC will report to the IB every six months. This reporting will include the number of case reports received as well as anonymized or abstracted details regarding responses for each. Anonymized statistics on the numbers and types of complaints, as well as any actions taken in response will be made available to the LZ collaboration. The CRC will actively and regularly review this document and the procedures herein, and propose changes for IB ratification as appropriate, although not in the middle of an open matter, and at least a. The CRC may interview process participants after a process is complete with the goal of seeking to understand if the system and procedures are functioning well and for continuous improvement.

The Committee will regularly remind the collaboration at large (including all levels) of this Community Agreement via presentations at All Hands or Collaboration Meetings and via email.

5.2 Response to a Report

This section describes the process through which a case is reported to and handled by the collaboration, through the institutions of the CRC, the Spokesperson, and the IB. The Chair of the CRC agrees to organize the response in a timely fashion, with the Rapid Response Team assigned within 24 hours of receipt, and the remainder of the Case Review process completed within 2-4 weeks. During this process and afterwards, all LZ collaborators involved are committed to protecting the privacy of participants. The identities of parties will be hidden to the extent practical for good decision-making. If at the end of the process the CRC or IB endorses a sanction, the identity of the party who violated the code will become known.

If at any time, a member of the Committee is the subject of a report or a reporter, that member must recuse themselves from any participation in the Committee process, to be replaced by an ombudsperson. Committee members may also choose to recuse themselves for other real or perceived conflicts of interest. A reporter may also request a CRC member be recused for reasons of real or perceived conflicts of interest. If the Chair has to recuse themselves, the Deputy Chair will act as Chair for the duration of that report.

5.2.1 Receipt of notification

The CRC will become involved in a case when a report is made to any member of the CRC, who will then bring the case to the Chair (or Deputy Chair if the Chair has a conflict of interest). A notification can be received from outside the LZ collaboration. If made by a person, that external person becomes a standard “reporter” as mentioned in the following sections. The CRC can also act in response to a sanction or censure by a collaboration member’s department, institution, or professional society for activity that constitutes a violation of this LZ Community Agreement or places LZ members at risk. In this case, there is no “reporter” as mentioned in the following sections. The LZ collaboration, through the institutions of the CRC, the Spokesperson, and the IB, reserves the right to respond without any internal investigation based on such an external action.

When notified of a potential Community Agreement violation, the Chair and Deputy Chair can choose to inform the Collaboration Spokesperson, Operations Manager and/or IB Chair if action needs to be taken to limit contact between LZ Collaboration members without presumption that a violation has occurred.

5.2.2 Rapid Response Team (RRT)

The first action in response to a notification is the formation of a Rapid Response Team (RRT). The role of the RRT is to quickly respond within a day or two to a situation. The primary goals of the RRT are de-escalation and ensuring the safety of all collaboration members. The RRT can attempt a simple mediation if all parties are willing in the interests of

de-escalating the conflict, which may take the form of a communication of impact or an apology. Other examples can be found in the Appendix.

Upon receipt of a notification, the Chair will assign two CRC members to the RRT. The Chair may consult with ombudspersons and other members of the CRC in deciding the appropriate members for the RRT.

5.2.3 Case Review

Irrespective of the actions of the RRT, the case will enter a review stage. Throughout this stage, the members of the RRT will collect and present information to the remainder of the committee. The RRT members will not vote on any subsequent actions in the case.

5.2.4 Initial review

The members of the RRT conduct a review of the complaint, which can be limited to simply understanding the notification itself. If the reporter does not wish for action to be taken following the notification, the CRC will review the case and determine whether any additional action must be taken to ensure the safety of collaboration members. If not, the process terminates with a note submitted to the LBNL FAIR ICD system.

If the reporter wishes the process to proceed, the Chair of the CRC will contact the LBNL Learning & Culture Office to include a professionally trained representative in all further proceedings who participates in an advisory and ex-officio capacity. The severity of the issue will impact the timeliness with which the representative will become available, under a tiered alerting system. The voting members of the committee vote on whether further exploration of the circumstances is warranted. The only question facing the committee in this vote is whether the actions described in the notification *would* constitute a violation of the Code, *if* they happened as described. If voting in the affirmative, then the Committee proceeds to the next step. If voting in the negative, then a statement regarding the report, the process, and the surrounding details is recorded by the Chair of the CRC in the ICD system. The reporter is informed of the decision not to proceed, and the process terminates.

In cases with a time-sensitive context, the RRT may communicate the facts of the matter to the LZ collaboration spokesperson as well as the Chair of the CRC. The spokesperson is empowered to take swift and decisive action to address the matter, including the imposition of temporary sanctions, if they consider the matter urgent and such action is warranted. Any temporary sanctions imposed by the spokesperson will expire in no more than 3 months. Nothing in this community agreement should be interpreted as limiting the spokesperson's ability to act in the best interest of the collaboration.

5.2.5 Extended review

If the CRC votes to proceed, a second round of information gathering ensues, with guidance and oversight provided by the LBNL Learning & Culture Office representative throughout, including on matters of appropriateness of continued handling by the CRC and direction to alternative professional services available through LBNL FAIR where appropriate. In all cases where the CRC continues to address the situation directly, the RRT

leads the process of information gathering and presents it to the rest of the CRC, who listen and receive the information. The CRC may ask any member of the collaboration to provide a written or verbal summary of the incident, including both the reporter and the person about whom the concern was raised. No member of the collaboration is required to provide this information, but all attempts will be made to gather information from willing individuals and/or institutions. If there are relevant records in the ICD system, the Chair can bring those records forward at this stage.

Once the information is obtained, the RRT presents the information to the rest of the CRC. The CRC discusses, and the voting members vote to determine if the incident violated this Community Agreement.

If voting in the affirmative, then the Committee proceeds to the next step. If voting in the negative, the Committee informs both the reporter and the party about whom the concern was raised. A statement regarding the outcome and surrounding details is recorded in the ICD system, and the process terminates.

5.3 Determination of sanctions or recommendation by the committee

If the extended review and subsequent voting concludes that a violation of this Community Agreement did occur, the CRC will determine a recommended response. Responses can include, but are not limited to:

- issuance of a private warning from the CRC;
- where all parties are willing, recommendation for mediation facilitated by an external body, e.g., DOE's Alternative Dispute Resolution Office;
- suspension of collaborator(s) from shared LZ infrastructure, including LZ Slack, LZ meetings, and LZ houses at SURF;
- suspension of collaborator(s) from in-person meetings;
- removal of privileges related to LZ representation at conferences;
- loss of LZ committee memberships;
- suspension or removal from collaboration.

If a recommendation from the CRC involves full suspension or expulsion from the collaboration, or removal from an IB-elected or IB-appointed position of responsibility, the CRC will present their recommendation to the IB, as described in the next section (Sec. 5.4). If a recommendation from the CRC involves a position in the Operations Office or a suspension from an Operations resource (such as the LBL houses at SURF), the CRC will present their recommendations to the Operations Manager (or equivalent from the Operations Office in cases of conflict of interest) who may implement them, or, in recognition of the need for flexibility in ensuring effective operations and on-site safety and management, may consult with the CRC, Spokesperson, EB, and/or IB as necessary before taking action. Implementation of any other penalties (warnings, temporary suspensions from LZ Slack or LZ meetings, etc.) is within the remit of the CRC.

In all cases, the CRC must inform both the reporter and the party about whom the report was made about their course of action and a note will be submitted to the ICD system.

5.4 Hearing and endorsement vote at IB

If the CRC recommends a sanction requiring IB ratification, the CRC Chair will inform the IB Chair, and the IB Chair must call for a dedicated IB meeting as promptly as practical and no later than 2 weeks. The CRC Chair will work with the IB Chair to ensure that any parties with conflicts of interest (as a reporter or object of a complaint) do not attend the meeting.

At this meeting, the CRC Chair will present the findings and the recommended sanction for IB ratification. The CRC findings will be presented in abstract, keeping identities of all parties confidential to the fullest extent possible. The IB will then vote on the recommended sanction according to the standard IB voting procedure (i.e., each institution receiving one vote, and requiring a 2/3rd majority for endorsement). Any institution whose members have a conflict of interest (as a reporter or as the object of a complaint) will not be included in the vote.

If it has been possible to withhold the identity of the sanctioned party, then the identity of the party is made clear after an IB endorsement of the recommendation.

6. Retroactive Reporting

Retroactive reporting of events, including any occurring prior to the ratification of this document and seating of the first CRC, is allowed where either or both of the following conditions are met:

1. Significant and new information has come to light about a potential serious breach or repeated misconduct in LZ.
2. There is ongoing impact from a previously unresolved matter between and affecting members of LZ.

The CRC will decide whether a retroactive case review is appropriate and will determine the next steps to improve the situation.

7. Limitations

In no circumstances does this Community Agreement supplant laws or institutional policies or requirements to which members of LZ or home institutions are subject, including reporting requirements of an individual or entity. LZ members may report allegations of violations to home institutions, government agencies, or local authorities for investigation pursuant to applicable laws, regulations, and policies.

This Community Agreement shall not be construed as creating any employer-employee, joint venture, duty, trust, obligation to pay, or other relationship between or amongst the LZ collaboration, project, member institutions, grantors, funding institutions or agencies, home institutions, or members, including LZ leadership, management, groups, and committees. Members waive any and all claims, liabilities, or damages against the LZ collaboration, project, member institutions, grantors, funding institutions or agencies, home institutions, and LZ members involved in implementing the Community Agreement arising from the enforcement of, or failure to enforce, this Community Agreement.

Past sanctions or censure by a department, institution, or professional society for activity that constitutes a violation of the LZ Community Agreement will be considered by the LZ Institutional Board in judging new applications for LZ membership. Investigative findings by a department, institution, or professional society related to activity that constitutes a violation of the LZ Community Agreement by an existing LZ member can be considered by the LZ CRC without further investigation, including recommendation to the IB for expulsion of the member from the collaboration.

8. Code of Conduct TWiki Page

This Community Agreement as well as contact details for the Ombudspersons and CRC members, details on the LBNL Fair ICD system, resources available to LZ collaborators, and reporting statistics will be maintained on the LZ TWiki pages at: <http://teacher.pas.rochester.edu:8080/wiki/bin/view/Lz/LZConduct>

Appendix: Illustrative Examples

The following examples include a non-exhaustive list of undesirable behaviors as well as a broad classification; these illustrations are by no means intended to cover all possible instances. In case of doubt as to whether an action or behavior is a potential violation of the Community Agreement, collaboration members should seek advice from ombudspersons. It is important to note that even a minor issue can become serious when it is part of a repeating pattern of behavior. Similarly, attempts to “weaponize” this Community Agreement in any manner at all, including repeating patterns of or malicious or otherwise inappropriate reporting, may result in action by the CRC.

- “Minor” issues are typically characterized by misunderstandings or communication issues. De-escalation is often readily achievable and can be handled by ombudspersons through dialogue.
 - Example: student X from institution A feels that student Y from institution B often speaks rudely to them and/or others.
 - Example: an LZ Working Group leader rarely acknowledges the accomplishments of one or more students, focuses on the negatives, or otherwise is contributing to the student(s) feeling undervalued
 - Action: in both cases, a potential action might be an ombudsperson speaking directly to the person about whom the complaint is made to help them understand the students perspective.
- “Small” issues may be characterized as a more targeted offense between two parties, but that can still be handled readily by ombudsperson through dialogue with the parties and in particular with the person about whom the issue has been raised, or through a warning.
 - Example: Post-doc X from institution A often interrupts student Y from institution B, who feels disrespected and less able to contribute.

- Action: a potential action might be an ombudsperson speaking directly to the person about whom the complaint is made and/or the CRC issuing them a warning.
- “Medium” issues may be characterized as those that would benefit from mediation between parties, either by an ombudsperson, or through CRC mechanisms.
 - Example: Post-doc X from institution A and Post-doc Y from institution B often clash, contributing to feelings of discomfort for others.
 - Example: A Working Group leader has unrealistic expectations of students and does not offer opportunities to constructively address the issue, contributing to a negative work environment amongst the students and others within the group.
 - Example: A collaborator exhibits a pattern of repeated minor or small issues.
 - Action: a potential action would be mediation between all parties involved. The ombudspersons may handle the mediation, or the CRC facilitates mediation through an external body (e.g., DOE Alternative Dispute Resolution Office) whilst also issuing a warning.
- “Serious” offenses are those where although mediation may be beneficial and remains an option, stronger and more immediate action is also necessary
 - Example: a senior member of LZ continually belittles the work of more junior colleagues.
 - Example: a PI from institution A sends another PI from institution B a disrespectful, accusatory, or aggressive email.
 - Example: person A makes a disparaging or discriminatory comment to person B, without any further attempts at rectification.
 - Example: a senior member uses power dynamics to bully or otherwise intimidate someone more junior.
 - Example: a collaborator makes repeated or continually rude or critical comments on Slack or any other professional platform
 - Action: a potential action would be a temporary or permanent ban from Slack, collaboration meetings, or similar loss of privileges, as well as a formal reprimand issued by the CRC. The CRC might also require some training to be completed by the LZ member against whom the case was made before privileges are restored (for example, around anger management, DEI issues, or effective communication skills).
- “Severe” offenses are any behaviors that would be unequivocally unacceptable and recognised as such by any member or the collaboration.
 - Example: An LZ member in a position of authority or otherwise senior to another makes a direct or indirect threat (e.g., “do this or else”).
 - Example: An LZ member knowingly discriminates against another in any form
 - Example: Someone who is not a member of LZ reports to the LZ CRC that they were bullied by an LZ member
 - Action: a potential action might be removal from LZ privileges, including in-meeting attendance, LZ representation at conferences or similar, and/or bans from Slack; issuance of a formal “strike”, where another would warrant consideration for expulsion from the collaboration; and reporting to the DOE, LBNL, STFC or any other relevant bodies.

- “Egregious” offenses are those that are unlikely to warrant an offender remaining within the collaboration, and where severe action is deemed appropriate.
 - Example: a member of LZ sexually harasses another or anybody at all whilst representing LZ at a meeting, conference, or similar.
 - Example: a member of LZ exhibits continuous aggressive or abusive behavior, such as yelling in meetings, despite previous attempts by the CRC to address such behaviors.
 - Example: an LZ member has deliberately put another in physical danger.
 - Example: an LZ member makes a direct physical threat to another.
 - Example: The LZ CRC receives notification of dismissal of an LZ member from a professional body following severe misconduct.
 - Action: a potential action would be recommendation to the IB for suspension or expulsion from the collaboration; reporting to the DOE, LBNL, STFC or any other relevant bodies, including the relevant office at the home institution of the person who has been suspended or expelled from LZ and investigative bodies therein.