

Appendix XIII – Expectations and Code of Conduct

Expectations of CMaT Faculty

CMaT Faculty Expectations

CMaT provides a multitude of benefits to faculty under one umbrella. These include:

- a. Ability to work in the most advanced cell-manufacturing center in the country with state-of-the-art resources and ecosystem.
- b. A highly multi-disciplinary environment where faculty and trainees interact with researchers from a variety of disciplines, background, and institutions – bringing in a wide range of expertise to their projects.
- c. Close interactions with and regular review of results and project goals by industry and advisory board members - allowing faculty and trainees to showcase their work to companies and thought leaders very early on and get feedback.
- d. Potential to work with industry through their projects.
- e. Interactions with patient advocates, regulatory experts, and standards experts, in addition to scientific and clinical experts.
- f. Opportunity for international collaborations – especially by sending trainees to international partner labs, funded by CMaT.
- g. Opportunity for funded trainee sabbaticals at other domestic university and industry partner labs to learn new skills, establish collaborations, and advance project goals.
- h. Regular opportunities for professional development through courses, seminars, and targeted activities related to entrepreneurship, intellectual property, regulatory issues, and policy issues.
- i. Ability to participate in shaping some of the early standards and best practices in the field of cell manufacturing.
- j. Opportunity to mentor research participants at multiple levels, including high school students and teachers, technical college students and teachers, and undergraduates in under-represented demographics, and making a tremendous impact on the community.

For proper functioning of the CMaT ERC and to make sure that all faculty and our trainees can actually avail these benefits, we need faculty to work closely with CMaT leadership and meet certain expectations. Meeting or exceeding these expectations is critical for continued funding and involvement with CMaT. If any faculty is concerned that they cannot meet the expectations, they should talk to the CMaT leadership as soon as possible.

A CMaT faculty member is expected to:

- Maintain high standards and ethics in research, education, and service
- Promote a culture of diversity and inclusion
- Maintain confidentiality where appropriate
- Respond to staff and leadership's requests in a timely fashion
- Explain to trainees what it means to be a CMaT member, and what are the expectations, obligations, and privileges
- Facilitate trainee participation in CMaT-related activities, such as the weekly seminar, the Student Leadership Council (SLC), and outreach events
- Encourage trainee collaboration, exchange, and internships with other CMaT groups and industry partners, even if this requires the student to be away for a time period

- Attend annual retreat, annual site visit, and regularly attend weekly research presentations
- Facilitate and present at project meetings
- Host trainees like REU, RET, REM, High School, participants
- Work closely with current industry partners
- Help recruit new industry partners
- Disclose any invention in a timely manner and immediately inform CMaT leadership and IE team when an invention is disclosed
- Recognize that there are extensive reporting requirements for ERC participants
- Use the various systems in place for communication, data sharing, and reporting (Slack, AWS, ERC 360, Sharepoint, etc.)

Expectations of CMaT Trainees

CMaT trainee expectations

CMaT provides a multitude of benefits to trainees under one umbrella, that are otherwise difficult for non- CMaT trainees to avail. These include:

- a. Ability to work in the most advanced cell-manufacturing center in the country with state-of-the-art resources and ecosystem.
- b. A highly multi-disciplinary environment where trainees interact with researchers from a wide variety of disciplines, background, and institutions – bringing in a wide range of expertise to their projects.
- c. Close interactions with and regular review of results and project goals by industry, allowing trainees to showcase their work to companies very early on and learn what aspects of their work are relevant to industry.
- d. Potential to work with industry through their projects and also to intern at relevant companies.
- e. Interactions with patient advocates, regulatory experts, and standards experts, in addition to scientific and clinical experts.
- f. Opportunity for funded training sabbaticals at international partner labs.
- g. Opportunity for funded training sabbaticals at other domestic university and industry partner labs to learn new skills, establish collaborations, and advance project goals.
- h. Regular opportunities for professional development through courses, seminars, and targeted activities related to entrepreneurship, intellectual property, regulatory issues, and policy issues.
- i. Ability to participate in shaping some of the early standards and best practices in the field of cell manufacturing.

- j. Opportunity to mentor research participants at multiple levels, including high school students and teachers, technical college students and teachers, and undergraduates in under-represented demographics, thereby developing your own mentoring skills and making a tremendous impact on the community.

For proper functioning of the CMaT ERC and to make sure that trainees can actually avail these benefits, we need trainees to work closely with CMaT leadership and meet certain expectations. Meeting or exceeding these expectations is critical for continued funding and involvement with CMaT. If a trainee is concerned that they cannot meet the expectations, they should talk to their PI and CMaT leadership as soon as possible.

Beyond their research project, the following is considered a part of the job description of every CMaT graduate student and postdoctoral trainee:

- All CMaT trainees must promote a strong culture of diversity, collegiality, and inclusion.
- All CMaT-funded PhD and MS students (i.e. salaries and/or project expenses are paid by CMaT, even if partially) are required to complete the two CMaT approved bio-manufacturing courses by the end of their third year in the program. Students who matriculated in their doctoral or MS programs before fall 2017 are not required to take these courses, although it is strongly recommended
- All trainees are required to present their research project at least once per year at the CMaT weekly research presentations. In addition, all students are expected to present at project/thrust meetings and test-bed meetings regularly as requested by their PI. The weekly meetings should be treated as “lab meeting” for ALL CMaT and are a forum to present continuing progress and discuss challenges. As such, students should be prepared to present research updates multiple times during the year at the request of their PI.
- All trainees are expected to attend a minimum of 80% of the weekly research presentations and professional development seminars every year, unless there is a significant scheduling conflict (e.g. required classes). Attendance is taken through Bluejeans login and sign-up sheet as appropriate. It is our expectation that students will participate as an “honor code” to ensure robust discussions and knowledge transfer across CMaT.
- All CMaT-funded PhD students (in research labs) are expected to mentor at least one student or teacher during the course of their degree as a part of the High-school, RET, REU, and REM summer programs. It is understood that many CMaT students participate in mentorships outside of CMaT. It is expected that CMaT-funded students and faculty will ensure that CMaT summer programs trainees are a priority for their mentorship activities. CMaT leadership and PIs responsible for providing information about prospective mentees, to allow graduate student mentors to participate in the selection and matching process. If students feel overwhelmed or overburdened, they should immediately discuss with their PI or reach out to the CMaT Director for help and mitigation. All trainees are expected to participate in the mentorship trainee program before they start their mentorship, which will be provided through CMaT.
- Trainees are expected to participate at least one CMaT-related outreach activity each semester. It is understood that CMaT students perform many outreach activities that may not be directly funded by CMaT. Those outreach activities do count within this requirement and should be included/reported as CMaT activities.

- All CMaT trainees are required to attend and present their research at the CMaT annual retreat and the annual NSF site visit (pending the availability of travel funds, and as instructed by their PI).
- All CMaT trainees should participate in all assessment activities as requested.
- CMaT graduate students are highly encouraged to apply for the international research experience program through CMaT and for the cross institutional Trainee Sabbatical program through CMaT.
- All CMaT trainees are expected to actively participate in the events organized by the student leadership council (socials, competitions, seminars, etc.)
- All CMaT trainees are expected to serve on the SLC or help the SLC in organizing specific projects and outreach activities during their CMaT career. The Student Leadership Council (SLC) acts as the main liaison between CMaT students and the center administration, collaborates in the creation of CMaT's educational programs and outreach activities, and offers students the opportunity to develop leadership skills.
- All CMaT trainees are expected to interact with industrial partners through activities such as the annual retreat, NSF site visit, weekly meetings, entrepreneurship and innovation training opportunities, and where possible, through collaborative research and internships with industrial partners.
- All CMaT trainees are required to use the various systems in place for communication, data sharing, and reporting (Slack, AWS, ERC 360, Sharepoint, etc.)
- All CMaT trainees should maintain confidentiality and be aware that all participating institutions, industry members, and advisory board members have signed non-disclosure agreements and as such, all trainees are expected not to disclose others' research data or confidential information to anyone outside of CMaT.

Code of Conduct

Conduct in CMaT

CMaT is committed to fostering, cultivating, and preserving a culture of integrity, collegiality, service, and diversity and inclusion.

Our human capital is the most valuable asset we have. The collective sum of the individual differences, life experiences, knowledge, inventiveness, innovation, self-expression, unique capabilities and talent that all CMaT members invest in their work represents a significant part of not only our culture, but our reputation and center's achievement as well.

We embrace and encourage CMaT members' differences in age, color, disability, ethnicity, family or marital status, gender identity or expression, language, national origin, physical and mental ability, political affiliation, race, religion, sexual orientation, socio-economic status, veteran status, and other characteristics that make our center unique.

Code of Conduct

CMaT's Code of Conduct clarifies our expectations for our activities which include - but are not limited to - our research and educational activities; practices and policies on recruitment and selection; evaluation of ideas; professional development and training opportunities; access to resources; opportunities to publish/present; and the ongoing development of a work environment; The Code of Conduct is built on the premise of equity across all diversity dimensions that encourages and expects the following behavior:

- **Professional.** We are colleagues. Disruptive behavior, retaliation, and misconduct such as harassment based upon race, ethnicity, ancestry, color, religion, sex, sexual orientation, gender identity, national origin, age, disability, genetics, or veteran status are impermissible. Disruptive behavior may include but is not limited to sustained interruptions of talks or other events as well as unprofessional comments or jokes. Inappropriate or unwelcome physical contact, sexual attention or innuendo, intimidation and/or stalking, disrespectful comments about physical appearance or body size, and photography or recording of an individual without consent are impermissible.
- **Respectful.** Value all input and diversity of thought. Embrace habits that are inclusive and productive for center members wherever they are: make liberal use of asynchronous communication tools, document syncs and decisions thoroughly, and pay attention to time zones and work schedules, when scheduling events.
- **Collaborative.** Involve all members in groups/teams and committees by permitting everyone to be heard, and by listening to everyone's ideas.
- **Honest.** Integrity and transparency in all our dealings. CMaT requires all of its members to conduct research and education with the highest integrity and transparency. Institutional guidelines on Responsible Conduct of Research (RCR) must be strictly adhered to. Conflict of Interests (COI) policies of respective institutions must be followed, disclosed, and managed. In addition, all perceived and actual COIs must also be disclosed to the CMaT Director and Deputy Director, since we must report all COIs to NSF every year. In addition to respective institute-specific COI policies that apply to ALL CMaT members (faculty, staff, and trainees), the following policies apply specifically to CMaT leadership. All members of the CMaT Executive Committee and all Thrust and Test-Bed leaders must disclose any potential COI they may have with any CMaT Industry Partner i.e. IPAB members). This include, but are not limited to, any financial interest in the company, board membership, advisory relations, and sponsored projects funded by the company.

- **Kindness.** Be polite and friendly in all forms of communication – especially remote communication, where opportunities for misunderstanding are greater. Avoid sarcasm. Tone is hard to decipher online; make liberal use of emoji, GIFs and Bitmoji to aid in communication. Use video hangouts when it makes sense; face-to-face discussion benefits from all kinds of social cues that may go missing in other forms of communication.
- **Supportive of your colleagues, both proactively and responsively.** Offer to help if you see someone struggling or otherwise in need of assistance (taking care not to be patronizing or disrespectful). If someone approaches you looking for help, be generous with your time; if you're under a deadline, let them know when you will be able to help or direct them to someone else who may be of assistance.
- **Inclusive:** Go out of your way and across cultures to include people in social activities, team jokes or memes; we want to build an environment free of cliques. Make an effort to include colleagues in meals and other leisure activities. Avoid slang or idioms that might not translate across cultures or be deliberate in explaining them to share our diverse cultures and languages. Speak plainly and avoid acronyms and jargon that not everyone may understand. Be an ally to teammates when you see a need.
- **Generous in both giving and accepting feedback.** Feedback is a natural and important part of our culture. Good feedback is kind, respectful, clear, and constructive, and focused on goals and values rather than personal preferences. You are expected to give and receive feedback with gratitude and a growth mindset.

All participants of CMaT always have a responsibility to treat others with dignity and respect. All members are expected to exhibit conduct that reflects inclusion during research, at center functions on or off site, and at all other center-sponsored and participative events. All participants are also required to attend and complete annual diversity awareness training to enhance their knowledge to fulfill this responsibility.

Each Participant is expected to comply with CMaT's Code of Conduct, the policies of the Participant's home institution, and the National Science Foundation's (NSF) requirements. Any participant found to have exhibited inappropriate conduct or behavior against others may be subject to disciplinary action. Such conduct or behavior may be reported to the appropriate authorities at such participant's home institution and/or the NSF for review and action. CMaT also may take action up to and including terminating the Participant's access to and involvement in CMaT activities.

CMaT's goal is create an inclusive and equitable environment for its participants. To help achieve this goal, anyone who experiences, observes, or has knowledge of conduct inconsistent with CMaT's Code of Conduct may immediately report the incident to a member of the event organizing committee, CMaT staff, or one of the CMaT Ombudspersons listed below. In addition to reporting incidents to CMaT, it is important to follow the participant's institutional reporting process as well.

CMaT Ombudspersons

Georgia Institute of Technology

Lizanne DeStefano

(lizanne.destefano@ceismc.gatech.edu)

Shalu Suri

(shalu.suri@gatech.edu)

University of Georgia

Steve Stice ([sstice@uga.edu](mailto:ssstice@uga.edu))

Cheryl Gomillion (ctgomillion@engr.uga.edu)

University of Puerto Rico Mayagüez

Madeline Torres-Lugo

(madeline.torres6@upr.edu)

University of Wisconsin Madison

Sean Palecek

(sppalecek@wisc.edu)

Institutional Reporting

Georgia Institute of Technology

<https://secure.ethicspoint.com/domain/media/en/gui/7508/index.html>

<http://www.policylibrary.gatech.edu/equal-opportunity-nondiscrimination-and-anti-harassment-policy>

University of Georgia

<https://uga.alertline.com/gcs/welcome>

University of Puerto Rico Mayagüez

http://www.uprm.edu/p/procuraduria/situaciones_atendidas

Gladstone Institutes

<https://hello.gladstone.org/policies/discrimination-harassment-and-retaliation-prevention-policy>

University of Wisconsin Madison

<https://compliance.wisc.edu/>

University of Pennsylvania

<http://www.upenn.edu/affirm-action/discrimination.html>

University of Oregon

<https://investigations.uoregon.edu/how-report>

Emory University

<http://equityandinclusion.emory.edu/discrimination/index.html>

Conducta en CMaT

CMaT se compromete a fomentar, cultivar y preservar una cultura de diversidad e inclusión.

Nuestro capital humano es el activo más valioso que tenemos. La suma colectiva de las diferencias individuales, las experiencias de vida, el conocimiento, la inventiva, la innovación, la autoexpresión, las capacidades únicas y el talento que todos los miembros de CMaT invierten en su trabajo representa una parte significativa no sólo de nuestra cultura, sino de nuestra reputación y el logro del centro también.

Abrazamos y fomentamos las diferencias de los miembros del CMaT en edad, color, discapacidad, etnia, estado familiar o civil, identidad o expresión de género, idioma, origen nacional, capacidad física y mental, afiliación política, raza, religión, orientación, estatus socioeconómico, estado de veterano y otras características que hacen que nuestro centro sea único.

Código de conducta

Las iniciativas de diversidad de CMaT son aplicables, pero no limitadas, a nuestras prácticas y políticas de reclutamiento y selección; evaluación de ideas; oportunidades de desarrollo profesional y formación; acceso a los recursos; oportunidades de publicar/presentar; y el desarrollo continuo de un entorno de trabajo. El código de conducta es basado en la premisa de la equidad en todas las dimensiones de diversidad que fomenta y espera lo siguiente:

- **Profesionalismo.** El acoso y los comentarios o chistes sexistas, racistas o excluyentes no son apropiados. El acoso incluye la interrupción sostenida de charlas u otros eventos, el contacto físico inapropiado o no deseado, la atención sexual o las insinuaciones, la intimidación deliberada, el acecho y la fotografía o grabación de una persona sin consentimiento. También incluye comentarios ofensivos relacionados con el género, la orientación sexual, la edad, la discapacidad, la apariencia física, el tamaño del cuerpo, la etnia o la religión.
- **Respeto.** Valorar toda idea y diversidad de pensamiento. Adopte hábitos que sean inclusivos y productivos para los miembros del centro dondequiera que estén: haga un uso liberal de las herramientas de comunicación asincrónica, las sincronizaciones de documentos y las decisiones a fondo, y preste atención a las zonas horarias y los horarios de trabajo al programar eventos.
- **Colaboración.** Involucrar a todos los miembros en grupos y equipos/comités permitiendo que todos sean escuchados y tomando en cuenta las ideas de todos los demás.
- **Honestidad.** CMaT exige que todos sus miembros conduzcan cada investigación y educación con la más alta integridad y transparencia. Las pautas institucionales de conducta responsable en investigación (RCR por sus siglas en inglés) deben ser estrictamente acatadas. Las normas de conflictos de interés de cada institución deben ser seguidas, manejadas y reveladas. Adicionalmente, todos los conflictos de interés, percibidos o reales, deben ser revelados al director de CMaT y al director suplente, ya que cada año debemos reportar todos los conflictos de interés a NSF. Además de las normas institucionales sobre los conflictos de

interés que aplican a todos los miembros de CMaT (profesorado, personal y aprendices), las siguientes normas aplican específicamente al liderazgo de CMaT. Todos los miembros del comité ejecutivo, líderes de grupos de investigación (Thrusts) y las plataformas de prueba (test-beds), deberán divulgar cualquier conflicto de interés que puedan tener con algún socio de industria de CMaT (por ejemplo, IPAB). Estos incluyen y no están limitados a cualquier interés financiero en la compañía, membresía en la junta directiva, relaciones de asesoramiento y proyectos fundados por la compañía.

- **Amabilidad.** Sea educado y amable en todas las formas de comunicación, especialmente la comunicación remota, donde las oportunidades de malentendido son mayores. Evita el sarcasmo. El tono es difícil de descifrar en línea; hacer un uso liberal de emoji, GIFs y Bitmoji para ayudar en la comunicación. Utilice lugares de reunión de vídeo cuando tenga sentido; discusión cara a cara se beneficia de todo tipo de señales sociales que pueden desaparecer en otras formas de comunicación.
- **Apoyo.** Apoye a sus colegas, tanto de forma proactiva como receptiva. Ofrezcense a ayudar si ve a alguien que tiene problemas o necesita ayuda (teniendo cuidado de no ser condescendiente o irrespetuoso). Si alguien se acerca a ti en busca de ayuda, sé generoso con tu tiempo; si tienes una fecha límite, hazles saber cuándo podrás ayudarlo o dirigirlos a otra persona que pueda ser de ayuda.
- **Inclusividad.** Haga gran esfuerzo en incluir a las personas en las actividades sociales, bromas de equipo o memes; queremos construir un ambiente libre de camarillas. Haga un esfuerzo para incluir a sus colegas en comidas y otras actividades de ocio. Evite el argot o los modismos que podrían no traducirse a través de culturas o sea deliberado al explicarlos para compartir nuestras diversas culturas e idiomas. Hable claramente y evite acrónimos y jerga que no todo el mundo pueda entender. Sé un aliado para los compañeros de equipo cuando veas una necesidad.
- **Sugerencias.** Sea generoso tanto en dar como en aceptar comentarios. Los comentarios son una parte natural e importante de nuestra cultura. Una buena retroalimentación es amable, respetuosa, clara y constructiva, y se centra en objetivos y valores en lugar de preferencias personales. Se espera que usted dé y reciba retroalimentación con gratitud y una mentalidad de crecimiento.

Todos los participantes de CMaT siempre tienen la responsabilidad de tratar a los demás con dignidad y respeto. Se espera que todos los miembros exhiban conductas que reflejen la inclusión durante la investigación, en las funciones del centro dentro o fuera del sitio, y en todos los demás eventos patrocinados y participativos del centro. Todos los participantes también están obligados a asistir y completar la capacitación anual sobre concienciación sobre la diversidad para mejorar sus conocimientos para cumplir con esta responsabilidad.

Se espera que cada participante cumpla con el código de conducta de CMaT, las normas de la institución que los alberga, y los requisitos de NSF. Cualquier participante que haya exhibido una conducta o comportamiento inapropiado contra otros puede estar sujeto a medidas disciplinarias, definidas por

CMaT e instituciones participantes, incluyendo la presentación de informes a las autoridades apropiadas o la expulsión de CMaT. El comportamiento o conducta podrán ser reportados a las autoridades respectivas en la institución originaria del participante y/o al NSF para que sea revisada y para que se tome acción sobre ella.

El objetivo de CMaT es crear un ambiente inclusivo y equitativo para sus participantes, para ayudar en esto se espera que cualquier persona que experimente, observe o tenga conocimiento de discriminación o comportamiento amenazante reporte inmediatamente el incidente a un miembro.

Defensores del CMaT:

Georgia Institute of Technology

Lizanne DeStefano, Georgia Tech
(lizanne.destefano@ceismc.gatech.edu)

Shalu Suri
(shalu.suri@gatech.edu)

University of Georgia

Steve Stice ([sstice@uga.edu](mailto:ssstice@uga.edu))

Cheryl Gomillion
(ctgomillion@engr.uga.edu)

University of Puerto Rico Mayagüez

Madeline Torres-Lugo
(madeline.torres6@upr.edu)

University of Wisconsin Madison

Sean Palecek (sppalecek@wisc.edu)

Informes Institucionales

Georgia Institute of Technology
<https://secure.ethicspoint.com/domain/media/en/guid/7508/index.html>

University of Georgia
<https://uga.alertline.com/gcs/welcome>

University of Puerto Rico Mayagüez
http://www.uprm.edu/p/procuraduria/situaciones_atendidas

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<https://hello.gladstone.org/policies/discrimination-harassment-and-retaliation-prevention-policy>

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University of Oregon
<https://investigations.uoregon.edu/how-report>

Emory University
<http://equityandinclusion.emory.edu/discrimination/index.html>