



## Ethical Transparency Tool (ETT) Overview Briefing Packet Table of Contents

### 1. [Overview: Purpose and Key Design Principles](#)

Brief overview of the ETT's purpose and three design principles that minimize legal and enterprise risk, while treating everyone ethically. Focus audience includes lawyers and others who want a one-page narrative overview.

### 2. [2-Slide Process Diagram and Steps](#)

Visualization of how the ETT works. Focus audience is anyone who wants a high-level overview of the tool.

*This can also be downloaded as presentation slides (segmented presentation and combined presentation) [here](#) or a 1-page combined process diagram and notes handout [here](#).*

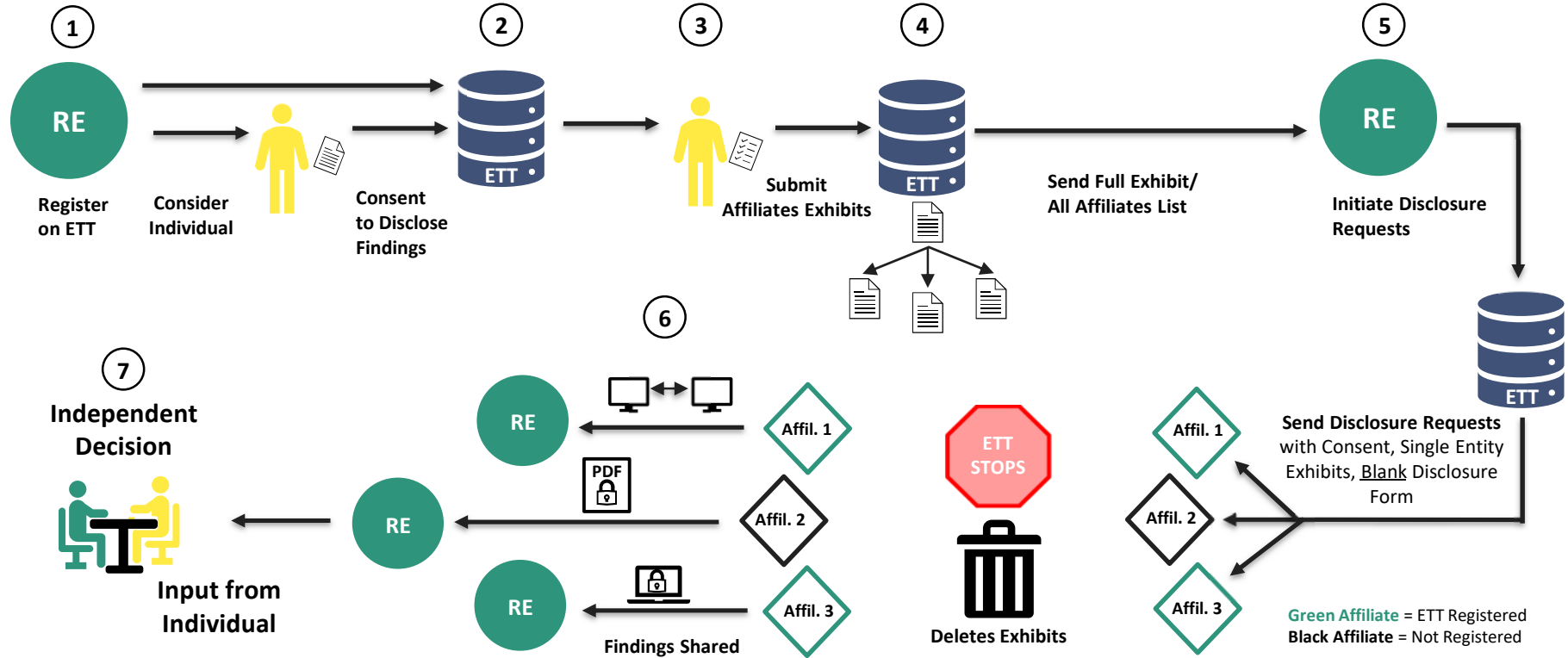
### 3. [Benefits Statements: ETT-Registered Entities, Individuals, and Education-Research Ecosystem](#)

Topline benefits for each main stakeholder affected by the ETT process. These can be used together or in any combination depending on the focus audience.

**These resources can be used in combination or as standalone documents. Each society, institution, and organization can decide which resources will be most useful for its different audiences. Focus audiences are additive – to expand, not to limit, who might benefit from each resource.**



# Full Ethical Transparency Tool (ETT) Process Diagram



# Ethical Transparency Tool (ETT) Full Process Steps

- 1 IHEs, societies, other research orgs. register to use ETT. A Registered Entity (**RE**) may require an Individual (**Ind.**) to complete a Consent Form on ETT (if not already submitted) as a condition to being considered for certain honor, privilege, employment, leadership, or governance roles. (A RE-society may ask Ind. to complete a Consent Form voluntarily anytime to help populate the ETT database and contribute to a norm of transparency.)
- 2 Ind. registers and completes a Consent Form on ETT. A single Consent Form: has a 10-year life but can be rescinded or renewed; can be used by any RE(s) when it considers an Ind. and seeks disclosures of **findings** of misconduct against the Ind. (sexual, gender, racial—also licensure, financial, research); and authorizes all of the Ind.'s professionally affiliated entities, past, present, and future (**Affiliates**) to disclose any such findings that they made to any RE(s) that makes a request throughout that period. (**Affiliates include the Ind.'s employers, societies, and appointing entities.**)
- 3 Upon RE's request, Ind. enters Ind.'s private ETT page to complete **Exhibit Forms** (a Full Form listing all of Ind.'s Affiliates, prior or current at the time—and Single Entity Forms, one for each Affiliate listing only it), with a contact for each. Exhibit Forms pair with Consent Forms to confirm Ind.'s Consent Recipients for authorized disclosures. An Ind. completes new Exhibit Forms, with up-to-date Affiliate listings and contacts, each time the Ind. is considered by any RE.
- 4 Upon Ind.'s submission and direction, ETT sends the Full Exhibit Form to RE. RE has 60 days to initiate Disclosure Requests to all of Ind.'s listed Affiliates via ETT. If not timely initiated, ETT deletes all of the Exhibit Forms (Full and Single Entity). **ETT is only a conduit for Exhibit Forms, not a repository.**
- 5 If timely initiated, ETT (on behalf of RE) sends separately to each Affiliate, the Ind.'s Consent Form, a Single Entity Exhibit Form (listing only the Affiliate that is receiving it), and a blank ETT Disclosure Form, asking the Affiliate to complete the Disclosure Form. ETT sends 2 Request Reminders to the Affiliates in the 21 days after the initial disclosure request. ETT then deletes all Exhibit Forms. This marks the end of use of ETT in the RE's process.
- 6 Each Affiliate checks the box and inserts the year for any covered kind of finding that it made against Ind. or checks "No Finding" or "Will Not Be Responding." It chooses its own secure method for **directly** sharing with only the requesting RE, the completed Disclosure Form. (E.g., screen sharing, password protected PDF, password protected website page.) **Affiliates do NOT send completed Disclosure Forms to ETT**; there is no central repository or shame list.
- 7 RE gains Ind.'s input, by its chosen means. Applying all facts that RE determines relevant, RE independently makes a decision under its own criteria and policy.



## Benefits of Participating in the Ethical Transparency Tool (ETT) (continued)

### ETT's Benefits for Individuals

- **Ethical, secure sharing of misconduct findings for a healthy work and learning environment.** ETT is a transparency tool that treats all people ethically and is sensitive to security needs. Individuals consent to disclosures of misconduct findings before a disclosure is made and can rescind a consent. ETT does not create a “shame list” or central records repository. There is no physical or digital transfer of misconduct records; the requesting entity just views or receives a check the box Disclosure Form via the disclosing entity’s secure means.
- **Sharing that is not over-broad.** A misconduct finding is only disclosed by the entity that made or adopted the finding directly to—and when requested by—an institution of higher education (IHE), academic-professional-honorary society, or other research organization that is registered to use ETT. The ETT database never receives a disclosure. Disclosures may only be used by the requesting IHE, society or organization in connection with its independent decisions or policies about honors, employment, leadership, governance, other roles, and/or privileges that may affect a healthy environment or enterprise risk. Disclosure is not automatic when a finding is made.
- **Limited but useful disclosures only of findings – not allegations.** A person’s ETT consent authorizes disclosure of findings of covered generic kinds of misconduct (sexual, gender, racial—also professional licensure, financial, or research). They are limited to the fact that a finding exists, the covered generic kind of misconduct, and the year. They come from the most reliable source – the entity that made or adopted the finding. ETT can avoid “whisper campaigns” and surprises.
- **Outcomes not dictated; no joint decision-making.** ETT does not dictate or guide decision-making about who is qualified or should be selected for an honor, employment, or any role. These decisions—including when (for what roles) to use ETT, how “finding” is defined, whether/what consequences result if there is a finding, and how to gain the person’s input – are made independently by each ETT-Registered Entity under its own policies, applied to a particular situation.
- **Students not covered.** Volunteers and employees, post docs and residents, may be covered.

## Benefits of Participating in the Ethical Transparency Tool (ETT) (continued)

### ETT's Benefits for the Higher Education & Research Ecosystem

- **Field-wide transparency in all settings where a person works or leads.** No one entity in the higher education and research ecosystem can alone create a norm of transparency because people engage in multiple settings. But transparency across the ecosystem can improve climate, enable all talent to thrive, and advance excellence, benefiting all of the entities and people in it. Establishing a norm of transparency among a universe of IHEs, societies, and organizations is often both more effective and easier than going it alone.
- **Leadership in creating a norm of transparency.** Each entity that uses ETT is taking leadership action to enable all parts of the higher education-research ecosystem to be better informed before an entity makes its independent decisions that affect its community and the fields broadly.
- **Long-term, field-wide (not just single transaction) utility.** A single ETT Consent Form authorizes *all* of a person's professionally affiliated entities to *make* disclosures of their findings of misconduct about a person when requested by an ETT-Registered Entity – whether or not the disclosing entities also are registered to use ETT. Registered institutions, societies, and organizations can *request and receive* disclosures. Only one Registered Entity requests an ETT Consent Form from a particular person. But, once submitted, that consent has a 10-year life (if not rescinded early) and may be used throughout that period by any number of ETT-Registered Entities to learn of misconduct findings to inform any number of their independent decisions.