Instrument & Science Teams
Code of Conduct

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> *"Every astronomer is a citizen of the community of science. Each of us shares responsibility for the welfare of this community." – AAS Ethics Statement*

The iLocater Team has high standards for its members to behave ethically and collegially. We strive for an inclusive and respectful environment for all team members independent of their personal attributes including background, age, gender, ethnicity, sexual orientation, career stage or any other relevant dimension. We aim to support every person's growth and success while part of the iLocater Team and we have a collective responsibility to achieving this goal. To this end, all team members should strive to be generous, humane and appreciate each other's contributions and needs.

Senior members have an especial obligation to demonstrate and promote such behavior in their words and deeds. More broadly, collaboration members should pay particular attention to interactions with junior researchers, in particular students and postdoctoral researchers.

Standards for Professional Behavior

We have adopted the AAS Code of Ethics as the basis for the iLocater Code of Conduct and a summarized version is included below. The full version of the Code of Ethics can be found at https://aas.org/policies/ethics. While that document will change over time and be the subject of continuing debate, it serves as an important marker to outline appropriate and acceptable professional for the astronomy research community.

The AAS Ethics Statement includes the following which summarizes the ethical goals of the iLocater Team:

> *All scientists should act ethically in the conduct of their research, in teaching and education, and in relations with both members of the public and other members of the scientific community. The maintenance of a set of ethical standards for work-related conduct requires a commitment to a lifelong effort: to act ethically in one's professional activities; to encourage ethical behavior by students, postdocs, colleagues, and employers; and to consult with others as needed regarding ethical problems and concerns.*

Conduct Toward Others

All people encountered in professional life should be treated with respect. At no time is abusive, demeaning, humiliating, or intimidating behavior acceptable; abuses of power are unacceptable. Scientists should work to provide an environment that encourages the free expression and exchange of scientific ideas. They should promote equality of opportunity and fair treatment for all their colleagues, regardless of gender, race, ethnic and national origin, religion, age, marital status, sexual orientation, gender identity and expression, disability, veteran status, etc. Scientific ability must be respected wherever it is found.

Senior members of the profession, especially research supervisors, have a special responsibility to facilitate the research, educational, and professional development of students and subordinates. This includes providing safe, supportive work environments (e.g., free from bullying or harassment), reasonable and fair compensation, appropriate acknowledgment of their contribution to any research results, as well as respect for them as individuals and protection of their academic freedom (e.g., freedom to disagree with or dispute wider community-held positions without fear of retaliation). In addition, supervisors should encourage the timely advancement of graduate students and young professionals in their career aspirations, be they in or out of the academic career track.

Scientific Misconduct

Members of the iLocater Team must perform research in a well-documented and ethically sound manner. Fabrication or falsification of data or results, plagiarism, taking credit for others' work, or any other scientific misconduct will not be tolerated.

All PIs, co-PIs and senior personnel should have completed appropriate Responsible and Ethical Conduct of Research (RCR) training if it is available to them through their primary institution.

Reporting and Dealing with Violations

Senior team members should proactively create an environment in which social friction and minor or potential conduct violations are managed prior to them becoming major concerns which require formal procedures and sanctions. This includes soliciting and listening to concerns from any team member, and modeling and encouraging appropriate behavior.

In cases where these informal methods are insufficient to address the situation, concerns about inappropriate behavior or a violation of this Code of Conduct can be raised by contacting one or both of the iLocater Co-PIs, Jonathan Crass and Justin Crepp. Reports may also be made to trusted individuals within the collaboration who can then pass these to the Co-PIs. Violations of the standards outlined in this Code of Conduct will be handled by the Co-PIs.

Concerns raised will be treated confidentially unless/until the person raising them agrees to have them communicated further or unless the person contacted is required to report a misconduct allegation by institutional rules or by law. Team members should be aware that many members of the iLocater leadership (particularly faculty) are considered mandated reporters under Title IX. This means that they are required to report cases of sexual discrimination and harassment at their institutions to their institution's Title IX office.

Retaliation toward a member who pursues any of these options, or toward anyone assisting in the investigation and resolution of a concern or complaint, is a violation of this Code.

Leadership and Resolution

The Co-PIs will resolve reports of misconduct and if necessary, impose sanctions. Depending on the situation, this will be done with the advice and consent of appropriate parties, for example, engaging with broader project senior personnel at the Large Binocular Telescope and partner institutions (e.g. Level A Collaboration Members – see Collaboration Agreement), or if necessary via an independent person outside the collaboration. "Advice and consent" here means that the Co-PIs will consult with appropriate persons and not act without their support. This does not require persons involved in resolving cases of misconduct to be unanimous in their recommendations.

Sanctions

No team member will be involved in deciding sanctions upon themselves.

Sanctions will be imposed with an appreciation that while we will always strive to avoid misconduct, some level of infractions are inevitable and would happen with any collaboration. Ideally, they will be managed constructively and learned from, especially for first and minor offenses, and for junior members of the team. The primary purpose of sanctions will be to protect team members, especially junior members, from the negative consequences of others' behavior, and to maintain a safe research environment that promotes good behavior and science.

Sanctions should be proportionate to the severity of harm done and the persistence of the infractions, and might include:

- Warning
- Probation
- Complaint to the AAS Ethics Committee, a university, or other relevant bodies
- Removal from specific projects or interactions with certain other members
- Removal from the Builder's List (which affects co-authorship rights)
- Removal from all interactions beyond co-authorship and acknowledgements
- Removal from all associations and interactions with the group, including authorship

Dissemination

It is the responsibility of team members to ensure that new members they bring into the team (e.g. their advisees) understand this and other relevant policies.

Accepting the Code of Conduct

All members of the iLocater Collaboration should complete the online Code of Conduct form (https://forms.gle/BrehQcjr34JLkkiQA) to indicate that they have read and agree to abide by this policy (which includes, by reference, the AAS Code of Ethics, and the iLocater Collaboration Agreement).