

## LEM CODE OF CONDUCT

As members of the LEM Proposal Working Groups, we pledge to treat all people with respect and provide a harassment- and bullying-free environment, regardless of sex, sexual orientation, gender identity, disability, physical appearance, body size, race, nationality, ethnicity, religion, etc. We do not tolerate sexual, sexist, racist, and otherwise exclusionary behavior or language of any kind and want to foster an inclusive environment .

We want to set up an environment in which everyone can contribute as much as their time will allow to LEM Working Groups. Working Group members should expect full international participation in each of the Science Working Groups, and are encouraged to participate in instrumentation. Working Group members should, however, expect technical discussions with the industry prime contractor and some instrumentation related discussions to be limited to key personnel due to export control laws and restrictions. This policy will be updated as needed.

### 1. Positive Behavior

- a. All participants are treated with respect and consideration, valuing a diversity of views and opinions.
- b. We will respect the work of others by recognizing acknowledgement/citation requests of original authors.
- c. We will welcome questions and provide respectful criticisms and feedback. We will be considerate, courteous, and collaborative and strive to communicate openly with respect for others, critiquing ideas rather than individuals.
- d. We pledge to help the entire LEM team follow the code of conduct and to not remain silent when we see violations of the code of conduct. We will take action when members violate this code such as contacting the LEM Issue Representative (LEMIR) Team via the anonymous feedback form (all comments will be treated with the strictest confidence) or talking privately with that person.
- e. Anyone requested to stop unacceptable behavior is expected to comply immediately.
- f. Be mindful of your fellow LEM Proposal Working Group members. Alert the PI or the LEMIR Team if you notice a dangerous situation or someone in distress.
- g. Be proactively inclusive!!!! Make sure all Proposal Working Group members feel equally included (everyone should have access to the same tools, everyone should know what is going on in the working group!)
- h. **Be considerate.** Everyone has their own way of doing things, their own schedules, responsibilities, time availability, and life-circumstances. In a large, collaborative environment, we work with people of various backgrounds and of varying levels of experience, expertise, and privilege; be open-minded, respectful, and realistic about timelines and deliverables for your working group(s) and your colleagues

### 2. Negative Behavior

- a. **Harassment** can take many forms, for example, physical and verbal abuse including inappropriate jokes. Harassment because of race, religion, color, sex

including pregnancy status, genetic information, gender, age, national origin, disability, marital status, sexual orientation, or gender identity expression will not be tolerated.

- b. **Sexual harassment** is defined as unwanted conduct of a sexual nature, and generally comes in two forms; 'quid pro quo' harassment where submission or refusal to submit to unwelcome sexual attention, requests for sexual favors, and/or other verbal or physical conduct of a sexual nature affects decisions such as preferential treatment, hiring, or promotions, and "Hostile work environment," in which the harassment creates an offensive and unpleasant working environment. Sexual harassment includes verbal harassment (e.g., innuendoes, suggestive comments, jokes of a sexual nature, sexual propositions, lewd remarks), nonverbal sexual harassment (e.g., the distribution, display, or discussion of sexually oriented written or graphic material), or physical sexual harassment (e.g., unwelcome, unwanted, unrequested, or uninvited physical contact). Sexual harassment of any form is not tolerated.
  - c. **Bullying** is defined as unwelcome or unreasonable behavior that demeans, intimidates, humiliates, or sabotages the work of people, either as individuals or as a group. Bullying behavior is most often aggressive, persistent, and part of a pattern, but it can also occur as a single egregious incident. It is usually carried out by an individual but can also be an aspect of group behavior. Respectful scientific debate and fair delegation of responsibilities are not considered bullying behavior.
  - d. **Do not exclude Proposal Working Group Members!** Put effort into working with everyone.
3. **Reporting Behavior**
- a. If you are the subject of unacceptable behavior or have witnessed any such behavior, please immediately notify the PI or the LEMIR Team via the **Anonymous feedback form:** <https://forms.gle/TeVb1x87FAWv7mrR6>. We want to ensure that the LEM working environment is safe and inclusive and therefore want to know if there are any problems, conflicts, or instances of unprofessional behavior. This feedback will be read only by Renata Cumbee and Ben Oppenheimer, and no identifiable information will be shared (unless requested).

4. **Expectations**

We expect that all individuals involved with the LEM mission in any role to abide by the expectations listed above as positive behavior and should avoid those listed as negative behavior. If there are any concerns that anyone is not upholding their expectations, a WG member can contact the WG Chair, LEMIR Team, or the Science leads as applicable.

- a. Working Group Members
  - i. Any WG member **should not** share information from the meetings or the Google Drive outside of the LEM Proposal Working Groups.
  - ii. WG members should contribute to discussions and tasks as much as they are able to or want to.

- iii. WG members should complete tasks they are responsible for in a timely manner.
  - iv. WG members should alert the WG or WG chair in a timely manner if they are unable to complete a task assigned to them.
  - v. Advisors to graduate students involved in LEM WGs should advocate for and oversee their students.
  - vi. WG Members are expected to be inclusive and report any negative behavior.
- b. Working Group Chairs
- i. WG Chairs are expected to communicate regularly with their WG members and co-chairs.
  - ii. WG Chairs are expected to schedule meetings with reasonable notice.
  - iii. WG Chairs are expected to manage the tasks of their Working Group and ensure that their WG is making progress.
  - iv. WG Chairs are responsible for making sure that all WG team members are included in discussions and efforts as much as they are able to be or want to be.
  - v. WG Chairs are expected to encourage junior members to contribute to and lead publications.
  - vi. If a WG Chair can no longer commit, please say so! The Science Leads and PI will find someone else to take your role and you can be included more when you have the time to commit.
- c. Science Leads and PI
- i. The Science Leads and PI will set an example for positive behaviors and promote an inclusive environment in LEM.
  - ii. The Science Leads and PI are expected to communicate regularly with the LEM proposal/Science team.
  - iii. The Science Leads and PI are expected to manage the WG Chairs and ensure that they are meeting expectations
- d. What can LEM WG Members Expect from LEM?
- i. To the extent legally allowed, any member should feel that they can be invested as much as they want
  - ii. WG members should expect full international participation in Science Working Groups
  - iii. While international participation in instrumentation is welcome and encouraged, WG members should expect some technical discussions related to instrumentation and discussions with the industry prime contractor to be limited to US citizens due to export control laws and restrictions.

## 5. Handling Issues

We encourage any LEM Proposal Working Groups members to submit complaints and issues anonymously via the anonymous feedback form in order to protect members concerned about retaliation, and for junior scientists who are worried that filing a complaint may have a negative impact on their career. When reporting negative behavior

or submitting a complaint anonymously, please provide as much information as possible so that the LEMIR team can properly review the complaint. If any of the LEMIR Team members evaluating the complaint or concern might be affected or unable to remain impartial, please provide that information in the report. If the person does not wish to remain anonymous, they can provide their name in the form and the LEMIR Team will contact them for additional information as necessary. **We emphasize that we do not tolerate retaliation against anyone filing a complaint.**

**a. Screening of Complaint:**

- i. The *LEMIR Team* (described below) will screen the complaint to determine if alleged misconduct is covered in the code. If the complaint does not include information required, the LEMIR team will inform the Complainant, if identifying information is provided, who will be given the opportunity to provide additional information. If no response is received from the Complainant in 30 days, the LEMIR Team will close the matter.
- ii. If the complaint is complete, the LEMIR Team will evaluate whether there is cause for action. Probable cause of action will exist when the Respondent's alleged actions constitute a breach of the LEM Code of Conduct. If probable cause for actions exists, a formal case is initiated, as described below.
- iii. If probable cause for action is not sufficiently demonstrated, the complaint will be dismissed at this stage. The LEMIR Team will notify the Complainant, if identifying information is provided, for the reasons why action will not be taken.
- iv. Receipt of multiple individually non-actionable complaints about an individual Respondent may constitute a cause for action.

**b. Notice of Complaint:**

- i. If cause of action is found, the LEMIR Team will provide a copy of the complaint and the relevant supporting materials (allowing privacy for the Complainant). If immediate action is not required, the Respondent will be asked for a written response to the complaint and will have a maximum of 30 days to provide a response.
- ii. The LEMIR Team will review the response and determine if disciplinary action or mediation is required.
- iii. If the members of the LEMIR team are unable to provide impartial review of the response, an impartial Examiner will be assigned. Any person appointed as an impartial Examiner will agree to confidentiality.

**c. Disciplinary Action**

- i. The consequences will depend on the nature of the offense. The most likely consequences are provided below, but the LEMIR Team will reserve the right to consider appropriate actions depending on the nature of the violation.
- ii. Private reprimand: In cases where there has been a violation of the code of conduct, but the violation did not cause serious personal and/or

- professional harm, an educative letter concerning the violation, including requirements for corrective action, will be sent to the Respondent.
- iii. Notification of Violation to the Home Institution: In cases where there has been an ethics violation and the violation has caused serious personal and/or professional harm, the home institution of the Respondent will be notified so that the disciplinary actions of the Home institution will be followed.
  - iv. Suspension from the Collaboration: In the worst offenses which have caused serious personal or professional harm, or for repeated offenses of a harmful nature, the LEMIR Team may recommend suspension from the Collaboration.

**6. LEM Issue Representative (LEMIR) Team**

- a. The LEMIR team will provide a confidential and impartial alternative for assistance with conflict resolution, problem solving, and communication.
- b. The LEMIR team will comprise 3 members to better facilitate and protect team members from all backgrounds including junior team members. This team will comprise 1 junior member (~within 5 years of their PhD), 1 mid career team member, and 1 senior member from the LEM Senior Advisory Committee who is not directly involved in the LEM project.
- c. The LEMIR team will be a 2 year commitment and will receive training on fundamental inclusion advocacy LEMIR skills, such as active listening and conflict resolution.
- d. In the event that a LEMIR is affected by a conflict or personally related, the conflict will be handed off to another LEMIR.