

# 4MOST PROJECT CODE OF CONDUCT

*Version 2021-10-04*

Spectroscopy: 4MOST  
Inclusion: 4 ALL

Drafted by the 4MOST Code of Conduct Working Group, endorsed by the 4MOST Executive Board on 23-09-2021, by the Science Coordination Board on 16-09-2021, and by ESO's Director for Science on 04-10-2021.

The 4MOST Project is a large collaborative enterprise realised by people from different backgrounds and cultures. Its ability to provide excellent service to the astronomical community is enhanced by establishing a truly collaborative, team-oriented, and inclusive project culture. Embracing differences and fostering an inclusive environment creates opportunities for participation and innovation and contributes to a productive, high-achieving workforce. Maintaining a strong and healthy collaboration requires open, respectful communication and a shared commitment to a set of values that include ethical conduct, civility, inclusiveness, and diversity. The 4MOST Project is therefore adopting the following Code of Conduct and expects its members to adhere to these important principles in their work environment.

## **INCLUSION AND RESPECT**

All 4MOST Project members should strive to treat everyone encountered in their professional life with respect, to solicit and listen to diverse opinions, and to treat such opinions with civility. They should be alert to behaviour from themselves or others that would act to exclude or disregard other members in work-related activities.

It is expected that all 4MOST Project members give credit where credit is due, where in case where a decision has to be made with insufficient evidence, it is better to err on the safe side and give credit.

## **DISCRIMINATION**

4MOST Project members should promote equity of opportunity and treatment for all their colleagues, regardless of (alphabetically) age, disability, ethnicity, gender, marital status, nationality, physical appearance, political affiliation, pregnancy, race, religion, sexual orientation, and status as a caregiver (including as a parent).

In particular, it is required that appointments to roles within the 4MOST Project be made in a manner to ensure such equity of opportunity. The 4MOST membership rules described in the Science Team Policies are to be interpreted in the most inclusive sense possible, ensuring equity of opportunity.

## **HARASSMENT AND BULLYING**

The 4MOST Project will not tolerate verbal, nonverbal, physical, or sexual harassment or bullying of any kind in the work environment of its members, where violations may lead to

sanctions as described below. Behaviour and language acceptable to one person may not be acceptable to another. Members should make every effort to ensure that words and actions communicate respect for others. Unwelcome attention, threatening or abusive language, insulting, hurtful, or disrespectful comments, have no place in the 4MOST Project. Further examples of bullying can be found here: <https://www.mpg.de/16344063/bullying>.

Members further shall not recklessly or maliciously injure, or attempt to injure, directly or indirectly, the reputation and career prospects of others.

The 4MOST Project places a high priority on eliminating sexual harassment from the workplace. Sexual harassment includes (but is not limited to):

- 1) making submission to or rejection of sexual advances, requests for sexual favours, and verbal or physical conduct of a sexual nature either explicitly or implicitly a condition for further career decisions; or
- 2) sexual advances, requests for sexual favours, and verbal or physical conduct of a sexual nature that have the purpose of or the effect of unreasonably interfering with an individual's work performance by creating an intimidating, hostile, humiliating, or sexually offensive work environment.

## **SCIENTIFIC MISCONDUCT**

All 4MOST Project members shall demonstrate individual and organizational integrity in all science matters. Fabrication of data or selective reporting of data with the intent to mislead or deceive is unethical, unacceptable, and fraudulent. The same applies to any kind of plagiarism (including internal communications) and the appropriation of unpublished data or research results from others without permission and attribution. It should be recognized that honest errors are an integral part of the scientific enterprise. It is not unethical to be wrong, provided that errors are promptly acknowledged and corrected when they are detected.

All 4MOST Science Team members are expected to know and follow the regulations of the 4MOST Science Team Policies.

## **COMMUNICATION AND PRIVACY**

This Code of Conduct is applicable to all forms of communication within the 4MOST Project, whether in person at the workplace or at meetings, during video- and teleconferences, in emails, using any of the 4MOST Project communication tools, or on social media. For communications without face-to-face contact, special care should be taken as the non-verbal context is lacking and immediate feedback and clarification cannot always be provided, hence creating the potential for long lasting misconceptions and aggravations.

Include in your communication only those persons from which you can reasonably expect that they have an interest in your message. In particular, do not unnecessarily distribute a message to a large distribution list on a topic that concern only a few people, especially when the message contains criticism.

Redistributing private communication containing non-science personal feelings or opinions without consent of the originator is considered a violation of the Code of Conduct.

A person desiring an even higher degree of privacy for the correspondence can add the following sentence to an email: "The content of this email is confidential and intended for the recipient(s) specified in this message only. It is strictly forbidden to share any part of this message with any third party, without written consent of the sender." Please realize that even emails marked as private may have to be released at the request of legally authorized entities external to the 4MOST Project.

## **WORK/LIFE BALANCE**

To respect Project members that are caregivers, meetings shall be scheduled in regular working hours, as far as possible for a project distributed over many time zones.

In communications 4MOST members shall not articulate an expectation of a reply from other 4MOST Project members outside their regular working hours (including their vacation time) unless there is a justified case of emergency.

For large face-to-face 4MOST meetings, the hosting institute shall explore options to arrange childcare for participants.

## **RESOLUTION OF CONFLICTS AND COMPLAINTS**

In line with aiming to be a collaborative, team-oriented, and inclusive project, this section provides several avenues and steps for conflict resolution, with the hope of achieving satisfactory outcomes without formal sanctions. However, in case mediation does not resolve the complaint, sanctions as described below in this document may be applied. Confidentiality will be maintained whenever requested. However, if it becomes apparent, at any point during the complaints process, that the complaint implies potentially unlawful acts, the appropriate authorities will be notified immediately.

Depending on circumstances, 4MOST Project members have several options to report possible violations of the Code of Conduct and ask the conduct to be reviewed. The report initiator does not necessarily have to be the victim of the perceived violation; any witness or persons with credible evidence may report a possible violation if they personally feel violated or have concern about possible future violations against 4MOST Project members. 4MOST Project members are free to choose any of these options as applicable:

1. In case the complaint arises between two or more members of the same 4MOST institute, where possible and appropriate, the complaint should be handled through the available channels and processes of the home institute. Most 4MOST institutes have well defined procedures to handle conduct violation complaints. For intra-institutional conflicts, the 4MOST complaints procedure shall only be used if the conflict occurred outside of the institute's work environment and in the 4MOST environment (e.g., at a 4MOST All Hands meeting).
2. The possible violation can be reported to the direct manager(s)/supervisor(s) of the Work Package involved or, especially in case of conflicts of interests or similar concerns, higher management of the relevant 4MOST Branch (i.e., the 4MOST Project Manager for Facility, the 4MOST Operations Manager for Operations, one of the Project Scientists for Science, or the 4MOST Principal Investigator).

3. The possible violation can be reported to one of the 4MOST Ombudspersons. The Ombudspersons are familiar with the organizational structure of the 4MOST Project and can provide current information about services, programs, policies, and procedures. The 4MOST Ombudspersons may be members of the Project, but should not have any other leadership or supervisory role that may compromise their impartiality. To maintain independence from conflicts of interest, at least two Ombudspersons shall be from different 4MOST institutions; 4MOST Project members can contact whichever Ombudsperson they feel is appropriate. In keeping with the informal, confidential, and independent role, notice to the Ombudsperson about a problem does not result in the generation of records, nor does it constitute legal notice to the institutions of the 4MOST Project members involved about the existence of a problem.

If one of the latter two options is pursued, the contacted person (Point of Contact: PoC) shall provide confidential, informal, independent, and neutral advisory services, including dispute resolution services and mediation. In cases in which the Point of Contact has reasonable grounds to believe that a violation of the Code of Conduct has occurred, and mediation is unsuccessful or not deemed possible for whatever reason, the initiator may opt to pursue a formal complaint. Formal complaints are handled by the Science Coordination Board (SCB) if any of the persons involved in the complaint is a 4MOST Science Team member, and only by the 4MOST Executive Board (EXB) if none of the persons involved in the dispute is a 4MOST Science Team member. All members of a 4MOST Survey are 4MOST Science Team members, see the 4MOST Science Team Policies.

Both the SCB and EXB shall identify three of its members from different institutes as potential Code of Conduct Board Contact Persons (BCP). In case of a formal complaint, the contacted Board Contact Person shall form a Complaints Panel, consisting of five unconflicted fellow Board members. In case the SCB cannot create an unconflicted panel the case is escalated to the EXB, in case the EXB cannot create an unconflicted panel the case is escalated to ESO. The Complaints Panel will review the case and decide whether to investigate the issue in a discreet manner, or refer the case to an external body with jurisdiction over the accused, such as one or more of the institutions employing those involved. The full involved Board will be informed of the formation of a Complaints Panel, but without names or details of the complaint. Anonymous complaints cannot be investigated and no investigations that could lead to sanctions can be done without a formal complaint.

Should the Complaints Panel decide to pursue an investigation, based on the evidence it will arrive at a decision regarding fault and the resulting sanctions to be imposed, and will inform the involved parties. The Complaints Panel will seek to resolve such formal complaints in a prompt manner, ideally within 2 months of the receipt of the complaint. It will also inform the full Board of the existence of the case and its resolution, including, if fault was found, the name of the respondent and the decision on sanctions, but without names of the initiator(s) or any witnesses or details of the complaint. The initiator(s) shall also be informed about the resolution. All reports remain confidential, unless the Complaints Panel resolves otherwise.

Should an involved party seek to appeal the decision of the Complaints Panel investigation, then such appeal should be made within one month of the communication of the decision. In cases in which the complaint was handled by the SCB, appeals involving only 4MOST Consortium

members are escalated to the EXB, all other appeals, i.e., those that involve Community Survey members or those handled by the EXB already, are escalated to the ESO Director of Science. The appeal review is mainly expected to determine whether due process was followed as described above and will involve a minimal number of people who will treat the matter with utmost confidentiality.

If the complaint includes a violation of law, the initiator is encouraged to ask for legal advice in 4MOST institutions when this is available. In no circumstance does the 4MOST Code of Conduct supplant laws or institutional policies or requirements to which members of the 4MOST Project or home institutions are subject, including reporting requirements these individuals or entities may have. It is understood that 4MOST Project members may report allegations of violations to home institutions, government agencies, or local authorities for investigation per applicable laws, regulations, and policies.

It is important to protect individuals from false, unsubstantiated, or inaccurate accusations. It is a violation of the Code of Conduct to knowingly provide false information, knowingly make a false report of suspected misconduct or a subsequent false report of retaliation, or knowingly provide false answers or information in response to an ongoing investigation.

Note that disagreements with regard to publication matters shall be resolved by the procedures described in the 4MOST Science Team Policies and/or 4MOST Publication Policies.

## **RETALIATION**

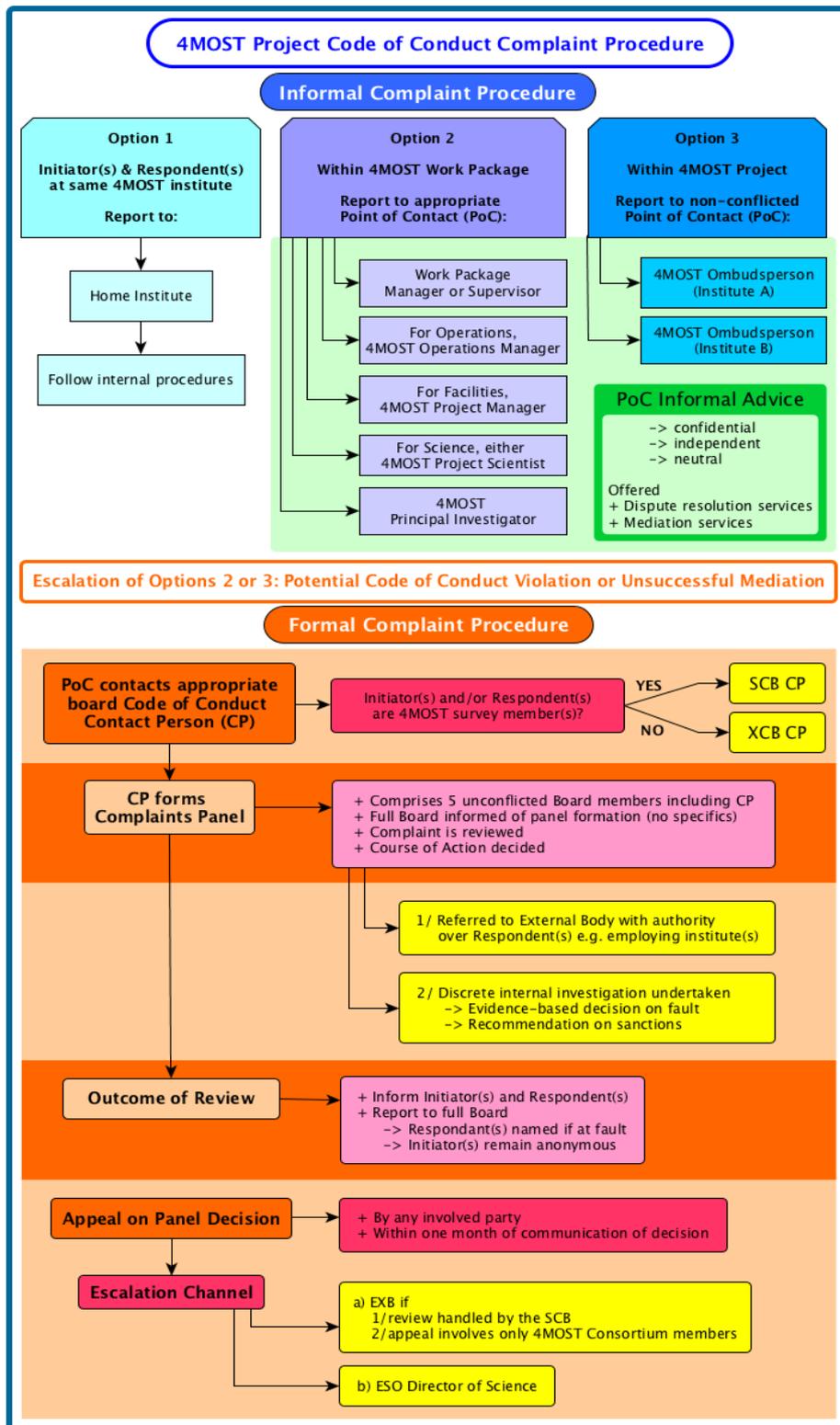
Retaliation toward a member who pursues any of these options, or toward anyone assisting either in the conflict resolution process or in the investigation of a formal complaint, is a violation of this Code.

## **POTENTIAL SANCTIONS**

All 4MOST Project members are expected to abide by this Code of Conduct, and prospective members must agree to the terms of the Code of Conduct as a condition of acceptance into the Project. Project members are granted membership privileges at the discretion of the 4MOST Executive Board, 4MOST Science Coordination Board, or ESO, and such privileges may be revoked upon reasonable grounds, including but not limited to violations of this Code of Conduct.

Violations of this Code of Conduct can result in a wide range of sanctions, depending on the severity, including restriction from participation in 4MOST telecons, restriction from participation in 4MOST meetings and workshops, suspension from 4MOST working groups, or suspension or revocation of 4MOST Project membership. Should a formal sanction be imposed, the home institution of the sanctioned person will be informed.

4MOST Project members can use the complaints process described above to initiate a formal complaint against a 4MOST Project member who has been sanctioned or censured by their department, institution, or professional society based on conduct violations. The then formed Complaints Panel has the right to apply similar sanctions or censure without any further detailed investigation provided sufficient information is available to determine that the concerned activities violate the 4MOST Code of Conduct or places 4MOST Project members at risk.



## ACKNOWLEDGEMENT

We thank the Euclid Consortium Diversity Committee for sharing their Euclid Consortium Code of Conduct and the Dark Energy Survey for sharing their Statement on Collaboration Culture, Ethics, Inclusivity, and Diversity, which together provided a starting point for this document and from which passages have been reused.

# MEETING CODE OF CONDUCT

For 4MOST meetings with external participants, the following Meeting Code of Conduct should be adopted and published on the meeting webpage.

The organizers are committed to making this meeting productive and enjoyable for everyone, regardless of gender, sexual orientation, disability, physical appearance, race, nationality or religion. We will not tolerate harassment of participants in any form. Please follow these guidelines:

1. Behave professionally. Harassment and sexist, racist, or exclusionary comments or jokes are not appropriate. Harassment includes sustained disruption of talks or other events, inappropriate physical contact, sexual attention or innuendo, deliberate intimidation, stalking, and photography or recording of an individual without consent. It also includes offensive comments related to gender, sexual orientation, disability, physical appearance, race or religion.
2. All communication should be appropriate for a professional audience including people of many different backgrounds. Sexual or sexist language and imagery is not appropriate.
3. Be kind to others. Do not insult or put down other attendees.
4. Discretion should be used when taking photographs, in particular to protect the privacy of individuals as part of large crowd scenes. Consent for photography may be assumed when the subject is giving a talk during a 4MOST meeting, unless the speaker expresses a wish not to be photographed, in which case the speaker should inform the chairperson, who will inform the public. In addition, attendance of the meeting signifies consent for appearing in the background of photos where the individual is not the central focus of the image. Publicizing/posting photos to social media sites (or on 4MOST dedicated social media pages) of individuals without explicit and prior consent is not permitted, even if the individual is giving a talk.
5. Presentations at a 4MOST meeting may contain information that is not public. Publicizing/posting slides shown at the meeting or recordings of the presentation without prior consent by the speaker is not allowed.

Participants asked to stop any inappropriate behaviour are expected to comply immediately. Participants violating these rules may be asked to leave the meeting at the sole discretion of the organizers. Any participant who wishes to report a violation of this policy is asked to speak, in confidence, to one of the 4MOST Ombudspersons.

The above Meeting Code of Conduct is based on the “London Code of Conduct”, as originally designed for the conference “Accurate Astrophysics. Correct Cosmology”, held in London in July 2015. The London Code was adapted with permission by Andrew Pontzen and Hiranya Peiris from a document by Software Carpentry, which itself derives from original Creative Commons documents by PyCon and Geek Feminism. It is released under a CC-Zero licence for reuse. To help track people’s improvements and best practice, please retain this acknowledgement, and log your re-use or modification of this policy at [https://github.com/apontzen/london\\_cc](https://github.com/apontzen/london_cc)