

GEMS JWST Code of Conduct & Collaboration Policy¹

July 24, 2023

Introduction

The Giant Exoplanets around M-dwarf Stars (GEMS) JWST survey is a large exoplanet survey to be executed with JWST during Cycle 2. The GEMS JWST survey will measure the near-infrared transmission spectra of seven gas giant planets orbiting M dwarfs to characterize the atmospheric composition and metallicity, providing the first opportunity to compare this population with analogous hot Jupiters orbiting Sun-like stars. The GEMS JWST Science Team expects its members to behave ethically and collegially. We understand science is maximized when we treat each other well in pursuit of our shared science goals, and we are particularly mindful of the training and professional development of junior members. Team members should strive to be generous and humane and appreciate each other's contributions and needs. This code of conduct is designed to facilitate thoughtful, respectful, and productive conduct between all science team members, especially acknowledging and supporting the many early career team members.

Supportive Research Environment

It is the policy of the GEMS JWST Science Team that all science team members² will conduct themselves in a professional manner that is welcoming and free from any form of discrimination, harassment, or retaliation. We will treat each other with respect and consideration to create a collegial, inclusive, and professional environment. Creating a supportive environment to enable scientific discourse within the GEMS JWST Science Team is the responsibility of all members, regardless of position. When a disagreement arises, all participants must remain respectful of other individuals and be committed to constructively resolving the disagreement. All communication between team members should be appropriate for a professional audience of people from many different backgrounds. Sexual language and imagery are never appropriate in any GEMS JWST-related communication.

Standards for Professional Treatment

GEMS JWST Science Team members will avoid discrimination and any inappropriate actions or statements based on individual characteristics such as age, race, ethnicity, sexual orientation, gender identity, gender expression, marital status, nationality, political affiliation, physical appearance or ability status, educational background, caste, or any other characteristic protected by law. Disruptive or harassing behavior of any kind will not be tolerated. Harassment includes, but is not limited to, inappropriate or intimidating behavior and language, unwelcome jokes or comments, unwanted touching or attention, offensive images, and stalking.

¹ Code of conduct borrows heavily from the [NEID](#), [COMPASS](#), and Pandora codes of conduct.

² Members include Co-Investigators and Collaborators as listed on the [GEMS JWST website](#).

The GEMS JWST Science Team adopts the AAS Code of Ethics³ and the AAS Anti-Harassment Policy⁴ for meetings and all forms of communication (including emails and Slack). We recognize that these documents will change with time and are necessarily incomplete and imperfect, but they serve as important templates and guides to professional norms. As a collaboration, we will also respect our team members by avoiding photography, recording, or the taking of screen captures without permission, and we will acquire permission from any featured members before sharing any permitted photography, recording, or screen captures outside of the collaboration, e.g., on social media.

Scientific Products & Proprietary Data

GEMS JWST Science Team members will produce a variety of scientific products in support of or resulting from the survey, including publications, data products, software, project documentation, proposals and presentation materials. Proprietary data include any reduced or derivative data products (e.g., any raw data that has been corrected for systematics from team members), theoretical models from team members (including but not limited to results of forward models or retrieval studies from team members), any proposal text or figures.

To use any proprietary data or discuss this GEMS JWST program in any presentation (e.g., a poster, talk, etc.) -

1. Discuss with the PIs AND the data product creator(s) at least two weeks before submission and get their permission.
2. If you're explicitly naming co-authors from the GEMS JWST Science Team (instead of including the "GEMS JWST Science Team"), the final product must be sent out a week in advance of submission for their approval of the content and to be included.

All ancillary data products produced by the GEMS JWST Science Team should remain proprietary until publication unless otherwise instructed by the data product creator(s) and the PIs. Upon publication, additional follow-up proposals for these planets need not necessarily include the entire science team, however reaching out to the science team is highly encouraged.

The policy for the development and release of publications is specified in the [GEMS JWST Publication Policy](#). Software developed by GEMS JWST Science Team members to support GEMS JWST can be shared within the team freely, but should be accredited appropriately and requires consent of the creator prior to sharing outside the group. Material presented by team members in GEMS JWST group meetings can be shared outside the group only upon consent of the creator of the work and with appropriate attribution.

Onboarding New Members

All science team members interested in bringing additional collaborators (including new students) to the team should first inform the PIs (prior to inviting any individual). The PIs will

³ <https://aas.org/policies/ethics>

⁴ <https://aas.org/policies/anti-harassment-policy-aas-division-meetings-activities>

bring this up with the entire GEMS JWST Science Team allowing for at least a week to raise any potential concerns before inviting the new collaborator. New members can be invited to join the investigation for a single planetary system, the entire survey (and science team), or as an outside collaborator (defined below). Irrespective of their role, every new member must adhere to the [GEMS JWST Publication Policy](#) and this Code of Conduct and Collaboration Policy. 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.

All members of the GEMS JWST Science Team should put their names in [this document](#) to indicate that they have read and agree to abide by this policy (which includes, by reference, the [AAS Code of Ethics](#), the [AAS Anti-Harassment Policy for meetings](#), and the [GEMS JWST Publication Policy](#). Please place your name alphabetically by last name.

Outside Collaborators

Collaborators who are interested in participating in science-related discussions or are passively involved in the science analysis and interpretation are defined as *outside collaborators*. Individuals interested in this role are onboarded following similar steps outlined for onboarding a science team member. They must adhere to the Code of Conduct and Collaboration Policy. Outside collaborators will be invited for authorship if they have meaningfully contributed (as detailed in the GEMS JWST Publication Policy) to the science discussion that significantly shaped the results of the publication in question.

Implementation

Violations of this code of conduct policy should be reported to the three PIs, or the ombudsperson/s, listed below. If a PI is the offender, members of the GEMS JWST Science Team should notify an ombudsperson and sanctions (as detailed below) will be decided by the remaining PIs and ombudspersons. If you observe unwelcome behavior, please report it. If you do not wish to make a complaint involving another team member, or if you are unsure of whether to do so, you are encouraged to contact the ombudsperson/s, listed below, for confidential consultation. The ombudsperson can also attempt, if requested by the member, to resolve the situation among the involved parties.

Sanctions

When deciding sanctions, the PIs will also consult with the ombudspersons. 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 GEMS JWST Science Team. The primary purpose of sanctions will be to protect GEMS JWST Science 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 all interactions beyond co-authorship and acknowledgements
- Removal from all associations and interactions with the group, including authorship

Sanctions involving removal of authorship privileges would presumably be reserved for extreme cases, and the intent would be to remove associations and collaboration of the sanctioned person with other members of the GEMS JWST Science Team. This means the sanctioned individual would not be invited onto new team papers and would be asked to remove themselves from papers to which they were already attached. The intent is not to deny anyone credit for work they have done, and authorship on papers to which they had already made inarguably author-level contributions would need to be managed on a case-by-case basis, for instance by separating their contributions out to separate papers.

In no circumstance does the GEMS JWST policy supplant laws or institutional policies to which team members are subject.

Policies for reporting

If a member has concerns about violations of GEMS JWST Science Team standards, they can report these in two ways:

- Direct or indirect communication with the PIs
- Communication via an ombudsperson. The ombudsperson can serve, for instance, to anonymize interactions between a team member and leadership.

GEMS JWST Science Team members should be aware that PIs or ombudspersons, in particular faculty at universities, 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. The anonymity of the original reporter can be preserved in such situations. Typically, the ombuds or the Title IX office at a university can help clarify how this works.

Ombudsperson Responsibilities

An ombudsperson serves as a representative of and advocate for the rest of the team, especially any victims of misconduct. A person in this role can serve as a mediator, filter, and/or anonymizer between the complainant(s) and GEMS JWST Science Team leadership. They are an informal, neutral and impartial, independent, and confidential resource which members of the collaboration are encouraged to contact if an individual observes any behavior that may violate this Code of Conduct. If requested by the team member raising the issue or complaint, the

ombudsperson can also attempt to resolve the situation among the involved parties.

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