

# **BABAR COLLABORATION GOVERNANCE RULES**

Ratified by the Collaboration Council on 25 April 2001

This document describes the governance of the BABAR Collaboration at SLAC, henceforth referred to as “the Collaboration.”

Requirements for individual and institutional membership in the Collaboration are defined herein. The broad governance structure, including the position of the Spokesperson, and the principal councils of the Collaboration—the Collaboration Council and the Executive Board—is also described. This document does not attempt to define the management structure in detail, but rather mandates the preparation and ratification of a management plan to provide those details.

## **1. MEMBERSHIP IN THE COLLABORATION**

### ***1.1 Membership Criteria***

Ph.D. physicists, engineers, and Ph.D. thesis students who contribute significantly to the Collaboration, as well as those who contribute significantly to the accelerator and plan to participate in the physics program, are eligible to be members of the Collaboration. A rough guideline is that all collaborators should devote a substantial fraction of their research time to the BABAR program over a period of several years.

### ***1.2 Joining the Collaboration***

New institutions, or new groups from within a Collaborating Institution, who wish to join the Collaboration should submit a proposal to the Spokesperson, who will present it to the Membership Committee of the Collaboration Council for consideration. The Council will subsequently vote on the Committee’s recommendation to accept or reject the submitted proposal.

### ***1.3 Conflicts of Interest***

Concurrent membership in other experiments or upgrades with a focus on *B*-meson physics and that will take data on the same time scale as BABAR is considered a conflict of interest that would prevent an individual from fulfilling the obligations of membership in the Collaboration.

## **2. MANAGEMENT STRUCTURE OF THE COLLABORATION—OVERVIEW**

The Collaboration Council, representing the full membership of the Collaboration, is the principal governing body of the Collaboration. It selects the Nominating Committee that proposes a candidate for Spokesperson, and it

ratifies the nomination. The Collaboration Council also ratifies members of the Executive Board.

The Spokesperson is the scientific leader of the Collaboration, responsible for financial, scientific, technical, and organizational decisions pertaining to the Collaboration. The Spokesperson will be assisted by a Senior Management Team.

The Executive Board is responsible for advising the Spokesperson on all scientific, financial, and organizational matters pertaining to the Collaboration.

The details of the management structure, including the roles and responsibilities of individual managers, the roles and responsibilities of additional groups such as the Technical Board, the Senior Management Team, the Publication Board, and Physics Analysis Groups will be established in a management plan, proposed by the Spokesperson and ratified by the Executive Board.

### **3. THE COLLABORATION COUNCIL**

#### ***3.1 Duties***

The Collaboration Council will concern itself with issues related to the overall framework of the Collaboration. It will ratify the Collaboration by-laws and the organizational structure, insofar as it is specified in the Collaboration Governance Rules, and vote on proposed amendments, which may be introduced by any Council representative or by the Spokesperson. All motions to ratify or modify the organization or governance of the Collaboration must pass by a two-thirds majority vote.

The Collaboration Council will appoint a Membership Committee, which will make recommendations to the Council regarding membership issues, including the admission of new institutions. Ratification of such recommendations requires a two-thirds majority vote of the Council. The Membership Committee will also review special cases concerning the membership qualifications of any individual, including situations where potential conflicts of interest may exist.

The Collaboration Council will be responsible for developing a publications policy and for appointing a Publications Board to approve papers for publication. The Board will be responsible for maintaining a list of eligible authors for both instrumental and physics papers.

The Collaboration Council will also be responsible for appointing a Speakers' Bureau to organize Collaboration presentations at conferences and workshops as appropriate and to determine who will represent the Collaboration at such meetings.

The Collaboration Council will appoint a Nominating Committee, consisting of eleven members, who will be responsible for nominating a Spokesperson. The Nominating Committee will consist of one member from SLAC, five members from other U.S. institutions, and five members from at least four different non-U.S. countries. By a two-thirds majority vote, the Council may change the composition of the Nominating Committee to reflect significant changes in the composition of the Collaboration.

The Collaboration Council may vote to remove the Executive Board by a two-thirds majority.

The Collaboration Council may request a full review and a written report from the Spokesperson on any decision or action for which it deems an explanation to be necessary.

Upon the recommendation of the Executive Board, the Collaboration Council may vote to remove the Spokesperson by a two-thirds majority, and either designate the Spokesperson-Elect as Spokesperson or, if there is no Spokesperson-Elect, designate an interim Spokesperson and begin the nominating process for a new Spokesperson.

### ***3.2 Membership***

Institutions with three or more Collaboration members who are Ph.D. physicists are considered Collaborating Institutions and will be directly represented on the Collaboration Council. Collaborating Institutions are responsible for maintaining a current list of their individual members and designating an Institutional Representative to serve on the Collaboration Council for a renewable three-year term.

Members of the Collaboration from institutions with fewer than three Ph.D. physicists may affiliate with another institution for the purpose of representation on the Collaboration Council, so long as the affiliated institutions satisfy the requirement of having a total of three or more Ph.D. physicists.

Large institutions will be given additional representation on the Collaboration Council. The number of votes for each institution is defined to be one plus the number of Ph.D. physicists divided by ten, rounded down to the nearest integer. An institution may choose to have one representative cast all of its votes, or it may choose to send one representative per vote.

### ***3.3 Officers of the Collaboration Council***

The Collaboration Council will elect its own Chairperson and Vice-Chairperson for non-renewable terms of two years. The Chairperson will guide the affairs of the Collaboration Council and will be responsible for organizing the meetings of

the Council. After two years, the Vice-Chairperson will succeed as Chairperson, and a new Vice-Chairperson will be elected. The Vice-Chairperson will chair the Collaboration Council when the Chairperson is not available.

The Chairperson, in consultation with the Collaboration, will select candidates for the several boards and committees that are to be established by the Council. One candidate will be selected for each available vacancy. When establishing committees de novo, the Council will ratify or reject nominated candidates by means of a vote for or against the full slate of candidates.

### ***3.4 Meetings***

The Collaboration Council will meet at least twice per year.

### ***3.5 Voting***

Under normal circumstances, representatives to the Collaboration Council must be present to vote; if unable to attend, a representative may designate another member of the Collaboration as a proxy. All votes will require that at least one-half of all Council members be either physically present or represented by a designated proxy who is physically present. Requirements for a majority vote or a two-thirds majority vote will be taken to mean a majority or two-thirds majority of all votes cast. Voting will normally be by a show of hands, although a secret ballot for any vote may be requested by any member of the Council. In special circumstances, the Chairperson may determine that a poll of the full Council is necessary and may request absentee ballots.

## **4. SPOKESPERSON OF THE COLLABORATION**

### ***4.1 Duties***

The Spokesperson is the chief executive officer of the Collaboration. The Spokesperson is responsible for all scientific, technical, organizational, and financial affairs of the Collaboration. The Spokesperson will consult frequently with the Executive Board and will obtain its advice on all major Collaboration issues. On financial matters, the Spokesperson's authority will be consistent with the requirements of the various funding agencies. On technical and scientific matters, the Spokesperson will consult broadly with other senior managers and with advisory boards as defined in the management plan. The Spokesperson will be responsible for keeping SLAC management and the Collaboration Council informed about Collaboration affairs. The Spokesperson will be responsible for developing the financial requirements for the Collaboration and for presenting them to the International Finance Committee (the international body of agencies organized by SLAC to support the BABAR experiment through the construction and operation phases).

In consultation with the Executive Board, the Spokesperson will also be responsible for maintaining a current management plan, to be ratified by a majority vote of the entire Executive Board. Among the necessary elements of the management plan will be a definition of roles and responsibilities for the various managers and consultative boards, including the Senior Management Team, and a description of the principal processes for designating managers for the various BABAR functions. An appendix to the management plan will be maintained containing a listing of all current managers.

Upon taking office, the Spokesperson will designate one member of the Senior Management Team to assume the duties of the Spokesperson, including the duty to chair meetings of the Executive Board, when the Spokesperson is unavailable. A different member of the Senior Management Team may be so designated at any time, but some member should be designated at all times.

The Spokesperson will organize General Collaboration Meetings at least twice per year.

#### ***4.2 Nomination and Ratification of the Spokesperson***

The Nominating Committee of the Collaboration Council will propose to the Collaboration Council a candidate for Spokesperson whom it feels will provide the best leadership for the Collaboration. In the nominating process, members of the Nominating Committee will consult widely, not only with the Collaboration as a whole, but also with SLAC management. It will be the role of the Nominating Committee to select from the list of nominees provided to it by the Collaboration. The overarching selection criterion will be the proven abilities and dedication of the individual chosen, so as to provide the most effective leadership for the Collaboration. Given the wide distribution of talent in the Collaboration, it is expected that over time the international nature of the Collaboration will be reflected in the position of Spokesperson. The nominated candidate must be ratified by a two-thirds majority of the Collaboration Council.

#### ***4.3 Term of Appointment***

The term of appointment for a Spokesperson will be two years; no person may serve consecutive terms. The Spokesperson is expected to be resident at SLAC full-time and should not be absent from SLAC for any extended period.

#### ***4.4 Role of the Spokesperson-Elect***

The Spokesperson will be selected a full year before the beginning of his or her term of office. Before taking office as Spokesperson, the Spokesperson-Elect will serve as a member of the Senior Management Team and will assume substantial management duties to be determined by the Spokesperson.

## **5. EXECUTIVE BOARD OF THE COLLABORATION**

### ***5.1 Duties***

The Executive Board will advise the Spokesperson on all scientific, financial, and organizational matters of the Collaboration. The Spokesperson will chair the Executive Board. If requested by at least three Board members, the Board will advise the Spokesperson by means of a vote.

Before taking effect, any management plan or any changes to an existing management plan proposed by the Spokesperson must be ratified by a majority vote of the entire Executive Board.

By a two-thirds majority vote of the entire Executive Board, the Board may recommend to the Collaboration Council that the Spokesperson be removed.

### ***5.2 Membership***

The Executive Board will consist of members distinguished by their scientific judgment, technical expertise, commitment to the experiment, and ability to speak knowledgeably and effectively for the regions they represent.

The Executive Board will consist of one member from each non-U.S. country that is making a substantial contribution to the experiment, plus an appropriate number of U.S. representatives such that the membership of the Executive Board reflects the composition of the Collaboration membership. Currently, the Board consists of one representative each from Canada, France, Germany, Italy, and the U.K. and five representatives from the U.S. The Board will review its regional composition, in consultation with SLAC management, and will propose changes as needed to the Collaboration Council. As a guideline, the number of voting members should not exceed fifteen. In addition, the Spokesperson, the Spokesperson-Elect, and the Chairperson of the Collaboration Council will be nonvoting ex-officio members of the Executive Board.

Membership of the Collaboration Council does not preclude membership of the Executive Board. However, members of the Senior Management Team may not serve simultaneously as members of the Executive Board. An individual who must resign from one senior management position, including membership on the Executive Board, upon assuming another must be replaced within three months, according to procedures to be specified in the management plan. The replacement will serve out the remainder of the incomplete term.

The Collaboration Council representatives from each national or regional group will nominate their candidate(s) for the Executive Board to the Collaboration Council for confirmation. The normal term of office for the Executive Board will

be three years, renewable, with one-third of the members being replaced or renewed each year.

### **5.3 Meetings**

The Executive Board will meet at least eight times per year. The Board will also meet at least once each year with ex-officio members not present. At all times, one member of the Board will be designated by the Spokesperson to call and chair these meetings. This designation requires ratification by a simple majority of the entire Board.

## **6. SENIOR MANAGEMENT TEAM**

The Senior Management Team will include as members the Technical Coordinator, in charge of the detector operations and hardware development; the Physics Analysis Coordinator, in charge of coordinating the analysis infrastructure and planning for physics analyses leading to publication; the Computing Coordinator, in charge of planning for and coordinating the computing resources necessary for data acquisition and analysis; and the Spokesperson-Elect. Other individuals may be designated as members by the Spokesperson, as stipulated in the management plan. All appointments to the posts on the Senior Management Team, other than the Spokesperson-Elect, must be ratified by a simple majority of the entire Executive Board. Two members of the Senior Management Team will be designated to maintain close liaison with PEP-II and SLAC management.