

***SuperB Governance Committee Report:  
Draft Constitution for Discussion***

2<sup>nd</sup> SuperB Collaboration Meeting

LNF Dec 2011

# *Governance Committee Membership*

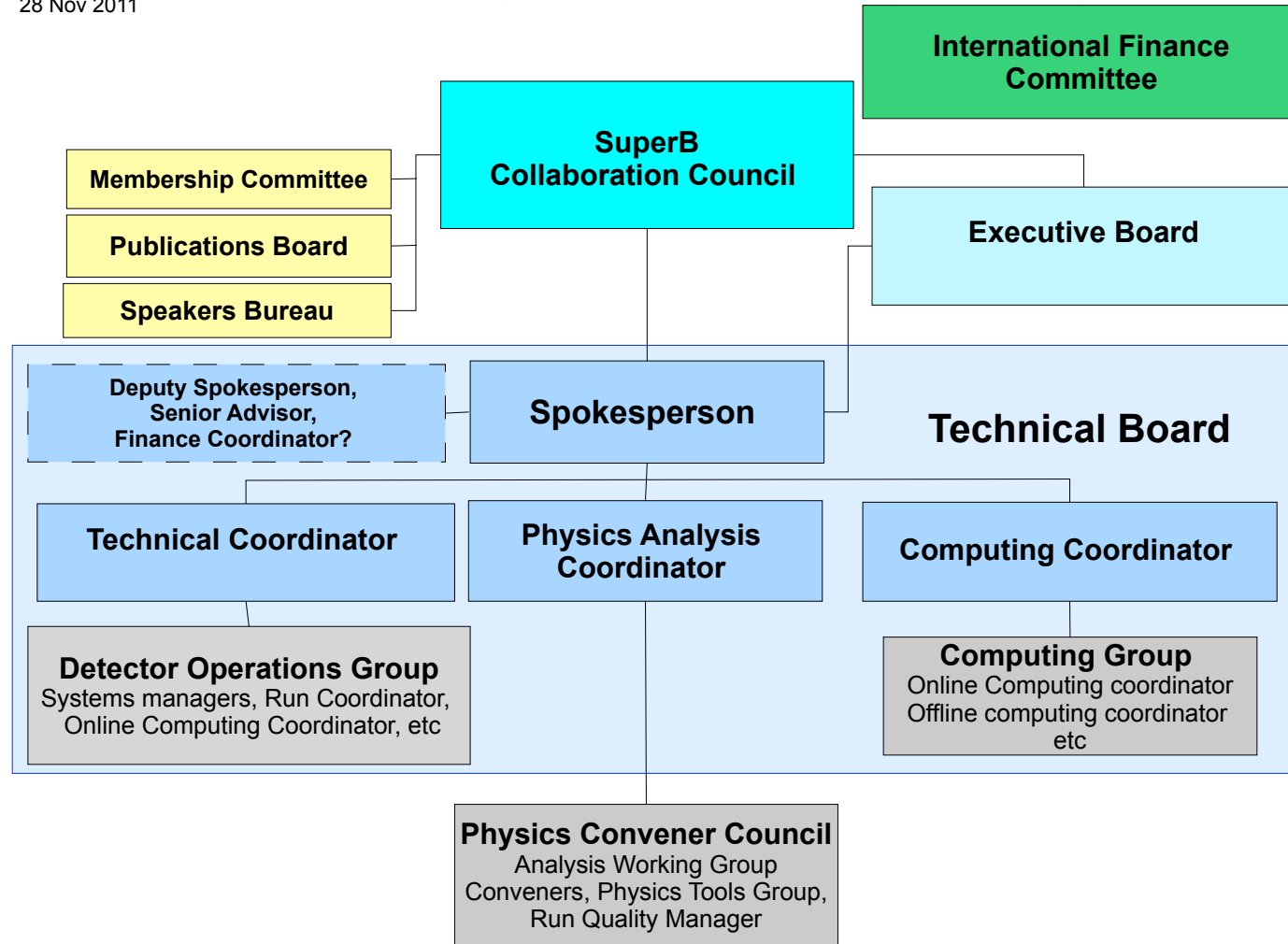
- Mauro Morandin (Chair) – INFN Pd (IT)
  - Originally had F. Ferroni as our chair – stepped down following appointment as INFN President
- Anna Di Ciaccio – INFN Tor Vergata & U. Tor Vergata (IT)
- Francesco Forti – INFN PI & U Pisa (IT)
- Evgeniy Kravchenko – BINP (RU)
- Livio Lanceri – INFN Ts and U. Trieste (IT)
- David Leith – SLAC (US)
- Michael Roney – U. Victoria (CA)
- A.J. Stewart Smith – U Princeton (US)
- Achille Stocchi – LAL (FR)
- Fergus Wilson – RAL (UK)

# Governance Document Sections

- Membership & Authorship
  - Council
  - Spokesperson
  - Executive Board
  - Management structure
- 
- Note: Committee considered the constitutions, governance rules and/or organizational models of a number of HEP Collaborations (ATLAS, CMS, BELLE, BaBar, CDF, D0, Icecube). Agreed to use the *BABAR* Governance Document as a starting– so much of this will look familiar to people from *BABAR*

# Organizational Chart

28 Nov 2011



# Membership I

- Institutional membership
  - Institutions who participate in the Collaboration are expected to give significant contributions to the construction and operation of the SuperB Detector, including support of detector computing, both hardware or software.
  - **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 Membership Committee will assist the group in negotiating possible terms of entry and will eventually report its recommendations at a Council meeting after the group has given a presentation about the composition, experience, proposed contribution to the experiment and current other commitments. **The Council will subsequently vote on the applicants proposal and a majority of 2/3 of those present will be required to endorse it.**
  - Participating Institutions are entitled to be **represented in the Collaboration Council** and must comply with the obligations that are defined by the Collaboration in terms of **financial and service contributions.**

# *Membership II*

- Individual membership

Ph.D. physicists, engineers, and Ph.D. thesis students who belong to a participating Institution can become members of the Collaboration **if they intend to devote a substantial fraction of their research time to the SuperB program over a period of several years.**

- **Members of the collaboration are eligible to be included in the authors list.**
- Participation of an individual in SuperB is at the discretion of the institute to which he or she is accredited

# Membership III

- Individual membership
  - Associated membership
    - Physicists who collaborate only on specific aspects of the SuperB program (like theorists) or engineers that provide technical contribution to SuperB, as well as undergraduate students, technicians and administrative personnel may be registered as associated members and do not sign papers reporting physics results. However they **may be added to the author list of a specific paper to which they have made a significant contribution**, with the agreement of the Publication Board on a case by case basis.
  - Conflict of interest
    - Concurrent individual membership in other experiments or upgrades with a focus on the same physics program and that will take data on the same time scale as SuperB is considered a conflict of interest that would prevent individuals from fulfilling the obligations of membership in the Collaboration.

# Authorship

**Members of the collaboration are eligible to be included in the authors list.**

- Inclusion in the authorship list, which entitles the collaborator to sign papers and to present results at Conferences on behalf of the collaboration, is granted to members of the collaboration after one year of active contribution. The detailed criteria of compliance are defined by the Collaboration and they should include for **new members in the data-taking period at least the equivalent of one year of full time spent on detector common tasks** and the **fulfillment of the financial and service obligations by the home institution of funding agency.**
- The authorship is also the basis for defining the pro-quota contributions to all Collaboration common services and financial obligations.



# *SuperB Detector Collaboration Council*

Aims: Lightweight, Open, Transparent, Flexible, Collegial

- Represents full membership – principal governing body of Collaboration
- Selects Spokesperson via selection of Nominating Committee and ratification
- Ratifies members of Executive Board
- Ratifies Management Plan proposed by Spokesperson and approved by Executive Board

Ensures management team can operate but gives Council oversight

# *SuperB Detector Collaboration Council*

- Concerned with overall framework and organizational structure
  - 2/3 majority vote to change governance or organizational structure
- Provides oversight of Spokesperson
  - can request written report from SP on any decision or action it deems needs explanation
  - may remove SP with 2/3 vote

# SuperB Detector Collaboration Council

Two considered a reasonable number to ensure council does not get too unwieldy

- **Council Membership**

- institutions with 2 or more PhD physicists are represented on Council – 3 year renewable term
- 2 or more institutes can affiliate to have a member representing them on Council
- No. of votes =  $\text{INT}(\text{no. authors}/7) + 1$ 
  - can have separate representation per vote

Smaller groups still have a voice

Considered having one vote per institute but decided that a large group is likely to be working in many areas.

# *SuperB Detector Collaboration Council*

Considered a clause preventing chair from holding any other major position in the collaboration but was not thought necessary

- **Council Officers**

- Chair + Deputy Chair – 2 year term – non-renewable, Deputy becomes Chair following 2 year term
- Chair convenes Council Meetings and guides affairs of collaboration
- Chair, in consultation with Council, selects board and committee members for bodies created by Council.
  - when established de novo, Council votes on slate of committee/board members

- **Council to meet at least twice per year**

- meetings are open to full collaboration
- voting restricted to Council members

Any SuperB member can come to the Council. Ensures all voices can be heard

# *SuperB Detector Collaboration Council*

- **Council Committees and Boards**
  - Membership Committee
    - recommendations ratified by Council 2/3 vote
  - Speakers Bureau
  - Publication Board
    - maintains list of authors

# *SuperB Detector Collaboration Council*

Same as BaBar. Discussed changing majority and quorum requirements but experience from BaBar suggests this is a good compromise

- **Decisions and Voting**

- **Agreement by Consensus whenever possible**
  - If consensus not reached, set time scale for decision and set date for subsequent Council meeting where decision to be taken, by vote if necessary
- Normally, physical presence is required for vote but proxy vote is permitted as long as designated proxy is present
- All votes require >50% presence of Council members + physically present proxies
- majority or 2/3 requirement of votes means majority or 2/3 of votes cast
- Normally show of hands, but secret ballot if any Council member requests
- Under special circumstances, Chair may require poll of full Council, may request use of absentee ballots

# *Spokesperson*

- Single Spokesperson
  - Scientific leader of the Collaboration, responsible for financial, scientific, technical, and organizational decisions.
  - Ex-Officio member and chair of Executive Board
  - Ex-officio member of the international body of funding agencies (cf BaBar International Finance Committee)
- Proposes a Management Plan and Management Team to the Council for ratification.

## *Spokesperson: selection procedure*

- Council appoints a Nominating Committee, consisting of eleven members representing the national makeup of the collaboration
- Committee recommends a single name to Council with a majority vote of all Council members, in person or by proxy, required for election.



# *Spokesperson: Term(s) of Office*

- **Construction phase**

- Initial 3-yr term, renewable.
  - “Full-time job.” Resident at Cabibbo Lab once detector commissioning begins.
- Final term ends September 1 of the first year in which at least 3 months of beam has been delivered to the experiment by January 1.

- **Data-taking phase**

- Single 2 year term, non-renewable.
- Must be resident at the laboratory.
- Selected at least a year in advance of taking office, so that she/he can serve for a year as Spokesperson-elect.
- Retiring spokesperson serves 1 year in management team by mutual agreement with the incoming spokesperson.

## *Executive Board*

- “The Executive Board will advise the Spokesperson on all scientific, financial, and organizational matters of the Collaboration. The Spokesperson will chair the Executive Board. “
- “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.”

# *Executive Board*

- Functions - the board is advisory in nature but has specific powers:
  - Ratify the management plan
  - Direct connection to national groups and agencies
  - Power to initiate the procedure for spokesperson removal (disaster scenario)
- Composition of the board
  - Ex-officio non-voting: spokesperson, spokesperson-elect or deputy, council chair, representative from Cabibbo Lab.
  - Knowledgeable people from the contributing regions (< 15)
  - Initial composition can be reviewed in consultation with the Cabibbo Lab to correctly represent the changing collaboration
- Chair
  - The spokesperson. We feel a different chair would make the board less effective for the collaboration
- Special meetings
  - At least once a year the Executive Board will meet without the ex-officio members to review the performance of the management
  - A chair for these special meetings will be designated by the spokesperson and ratified by the board.

# *Management Team*

- Overall management of SuperB Detector project is responsibility of a Management Team led by the Spokesperson
- Management Team:
  - Spokesperson
  - Physics Analysis Coordinator
  - Technical Coordinator
  - Computing Coordinator
  - Spokesperson-elect (when that office is filled)
  - Spokesperson may appoint up to two additional people to Management Team (e.g. Deputy Spokesperson, Financial Coordinator, Senior Advisor)

## *Interaction with Cabibbo Lab*

- Spokesperson to meet regularly with Lab Management
- Spokesperson will report to International Cabibbo Lab Scientific Committee to review design, construction, installation and commissioning
- Spokesperson will present for approval the annual budgets for construction, maintenance and operation of the detector to to the Cabibbo Lab and International Finance Committee
- Cabibbo Lab Directorate will appoint senior scientist who is also a member of the SuperB Detector Collaboration to sit on the Executive Board as an ex-officio member

# *Governance Committee Charge*

The Governance Committee shall propose to the SuperB Detector Collaboration the Constitution of the collaboration, to be ratified by the assembly of the Collaboration PIs (proto-council).

The Constitution will define the structure and the by-laws of the collaboration, exploiting the wide experience that the HEP International community has developed with many similar successful endeavors, in particular with the BaBar collaboration.

However the committee will have also to take into due consideration the specificities of the environment the Detector Collaboration will have to operate with, in particular the Cabibbo Lab and its organization now in the process of being outlined and deployed (Consortium), as well as its future evolution into an European Research Infrastructure Consortium (ERIC). It's indeed vital that both organizations will be capable of interacting in the most fruitful and efficient way and, therefore, the Committee, will have, in the course of its activity, to establish and maintain permanent contacts with the Cabibbo-lab now being formed.

The Committee should aim at producing the first draft of the Constitution before the SuperB December collaboration meeting.

The Committee should also propose a minimal set of by-laws for the operation of the proto-council by the September collaboration meeting to be adopted and followed until the final Constitution gets approved.