

Governance and Collaboration By-Laws

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August 24, 2017

Governance & Collaboration By-Laws

- **The Governance By-Laws for a collaboration is a written document that describes how the collaboration governs itself.**
- **The Governance By-Laws document is a living document**
- **The Governance By-Laws for a collaboration is unique to that collaboration**
- **Governance By-Laws across many collaborations contain common elements, even though the specification of those elements is unique for each collaboration**

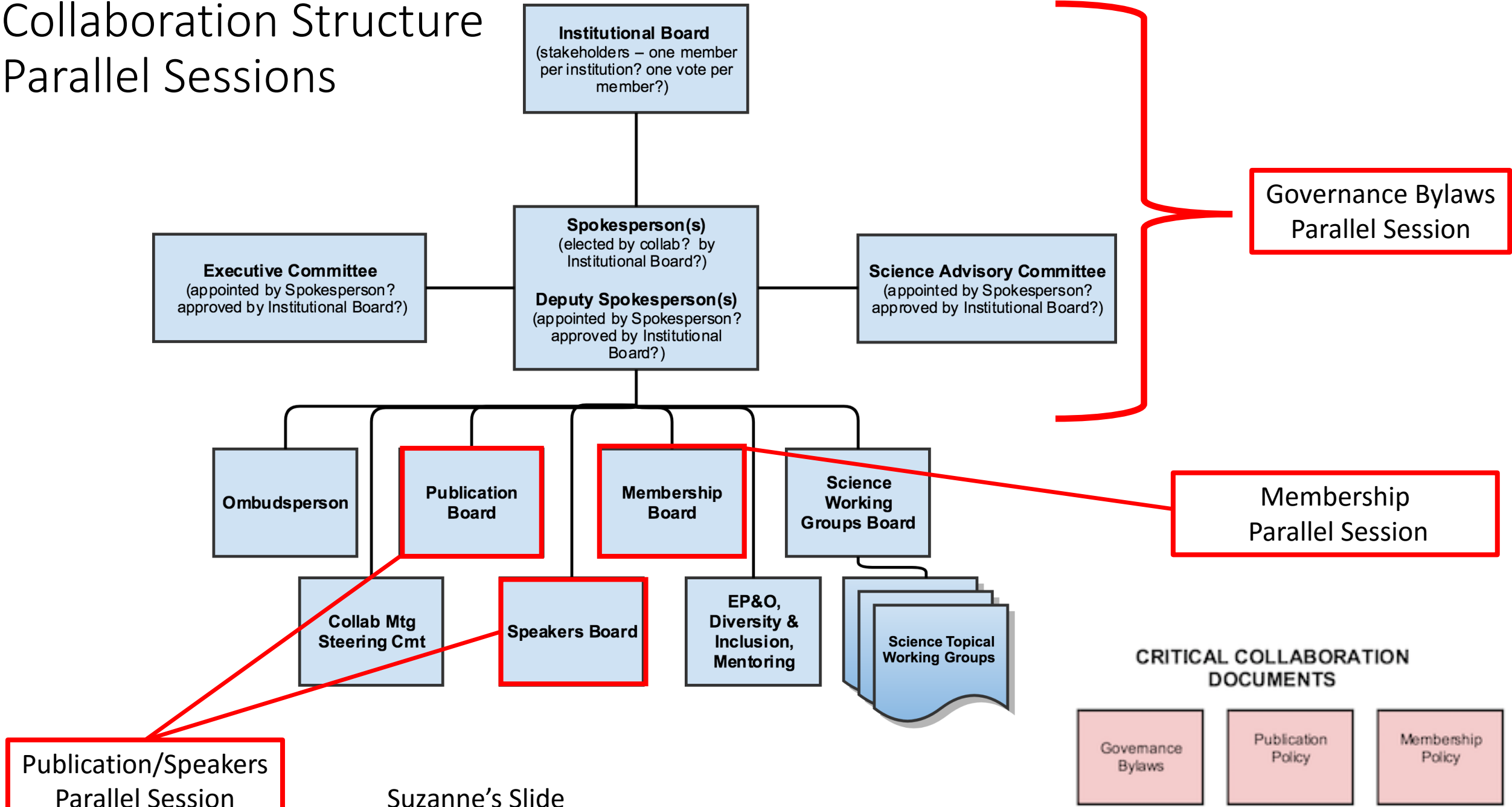
Governance and Collaboration By-Laws

Key Elements to establish for any Collaboration

- **Institutional Board or Council**
 - **Spokesperson(s)**
 - **Executive Board/Committee**
- | This Talk
- **Collaboration and Institutional Membership – Steve**
 - **Publication Approval Policy – Nathan**
 - **The rest – Not covered today**

Collaboration Structure

Parallel Sessions



Suzanne's Slide

Ice Cube Collaboration Governance By-Laws

<https://icecube.wisc.edu/collaboration/governance>

1 Collaboration Objectives (Goals/Preamble – Main Science Purpose)

2. Definitions

3 **Collaboration Membership**

4 **Collaboration Board (also called Institutional Board)**

4.1 Functions and Responsibilities

4.2 Membership (of Collaboration Board)

4.3 **Officers – Including Spokespersons**

4.4 **Executive Committee**

4.5 Meetings

4.6 Voting Procedure

4.7 Education and Outreach

4.8 Collaboration Policies and Procedures

4.9 Topical and General Conference Presentations

4.10 **Publications**

4.11 Ph.D. Research

4.12 Amendments

Approximately 300 members
48 institutions
12 countries

Mu2e Collaboration Governance By-Laws

- 1 Voting Rules and Definitions
- 2 Institution Board
- 3 Spokespersons (Co-Spokespersons or Spokesperson + Deputy)
- 4 Executive Board/Committee
- 5 Admitting New Institutions
- 6 Removal of Collaborators and Institutions
- 7 Collaboration Membership
- 8 Mu2e Authorship Policy
- 9 Selection of qualified Electors
- 10 Amending the Bylaws
- 11 Speakers Committee: Purpose and Policies
- 12 Mu2e Result and Publication Approval Policy
- 13 Interactions with Media

Approximately 230 scientists & engineers (including graduate students and postdocs)
37 institutions
6 countries

DESI Collaboration Governance By-Laws

<https://desi.lbl.gov/trac/attachment/wiki/PublicPages/bylaws-v10.pdf>

i. Preamble (Goals/Preamble – Main Science Purpose)

1 **Collaboration and Membership**

2 Institutional Buy-In

3. Joining Procedure

4. Project Director

5. Project Manager

6. **Spokesperson**

7. Chief Engineer

8. System Engineer

9. Project Scientist

10. Instrument Scientist

11. Ombudsperson

12. Directorate

13. **Executive Council**

14. **Intuitional Board**

15. Technical Board

16. Change Control Board

17. Survey Operations Coordinators

18. Membership Committee

19. **Publication**

20. Conference Talks

21. Proposals to Fund Scientific Research

22. Amendments to the By-Laws

23. Model Collaboration Principles

24. Organization Chart

**Approximately 534 Collaboration members
(165 participants, 436 sponsored, 60 grad.
students, 112 postdocs & 101 engineers)
79 institutions
9 countries**

Institutional Board or Collaboration Board

The By-Laws should define the role of the *Institutional Board* (IB) of a collaboration which is the *policy forming body*. The policy forming body controls all institutional aspects and the overall framework of the collaboration.

- The by-laws define how the IB develops the collaboration governing policies.
 - What are the policies for publications, membership, oversight and authority on science policy of collaboration?
 - What are the policies for internal collaboration boards (such as publications, outreach, speakers) ?
 - What are the procedures for voting for spokesperson(s), Executive Committee, Outreach, etc..?

Institutional Board or Collaboration Board

The By-Laws should define:

- **Who can be on the Institutional Board? (typically this is a board with representation of all collaborating institutions).**
 - **Will this be one member per institution or all senior scientists (for example)?**
- **What is the voting process of the IB (on policy)?**
 - **One vote per institution or weighted vote per FTE for example.**
 - **50% or 2/3 majority for example.**
- **How will the chair of Institutional board be selected?**
 - **Will the chair be the spokesperson or an elected member within the IB?**
 - **Will the spokesperson be an ex-officio non-voting member?**
 - **Will there be a secretary? Who will take minutes? Where will the min. be stored?**
- **How will the institutional board members be selected?**
 - **Will there be any seniority requirements? Will each institution do their selection?**
- **How frequently will the IB meet? (typically at least as frequent as the collaboration meetings).**

Executive Board / Committee

The By-Laws define the role of the Executive Committee (EC) or Executive Board of a collaboration. The ***Executive Committee*** is the body that ***advises the scientific leadership*** of the collaboration. The EC (under the advice of the Scientific Leadership) can establish procedures for making technical decisions for the collaboration and procedures for operating the experiment.

- By-laws should define what kind of advice the Executive Committee can provide to the scientific leadership
 - Scientific, financial and organizational choices, and policies?

EC is an advisory body which the scientific leadership can engage on any topic within the by-law guidance.

Executive Board / Committee

- **How will the EC provide advice to Spokesperson on collaboration actions?**
 - **Is this advice presented at an EC meeting? Is it a written document? Will there be internal collaboration minutes of the meeting? Where will these documents reside?**
- **How will the EC advise the spokesperson on technical decisions? Will the EC advise the spokesperson on issues related to operating the experiment?**
 - **What is the process for the EC to create ad hoc technical panels related to science goals of the collaboration? For example:**
 - **Advice on Analysis strategies**
 - **Advice for white papers for Decadal Review, P5, etc.. (future upgrade for example)**
 - **Advice to provide recommendations to Scientific leadership on competing technologies (For example on Mu2e, the EC formed external committees to evaluate (and made presentations to PM) on the different technology choices for multiple detector subsystems (Tracker, Extinction Monitor Detector)**
 - **Advice on operational priorities**

Executive Board / Committee

The by-laws should specify membership of Executive Committee (typically this is a smaller elected committee).

- **What should be the Executive Committee size and membership requirements?**
 - **For example: should the EC requirement be a senior or tenure track?**
 - **Or should the EC contain at least one jr. person or postdoc?**
 - **Should the EC members also be on the IB?**
 - **Should the EC represent all major groups, functions and competencies?**
- **What is the election procedure and are there term limits? Or are the EC members selected by the spokesperson(s) or scientific leadership?**
- **How is the EC Chair selected?**
- **Since the EC is an advisory committee for the scientific leadership, typically the scientific leadership is, at a minimum, an ex-officio member.**
- **Is there a secretary? If not, who writes the minutes?**

Spokesperson with Deputy or Co-Spokespersons

The By-Laws should define the Scientific Leadership of the collaboration. Typically this resides with the Spokesperson (or Co-Spokespersons).

- The Institution Board defines the collaboration policy. The Executive Committee advises the scientific leadership.

The Scientific Leadership (Spokesperson) carries out the collaboration policy and executes the technical/ operational /other advice.

- The by-laws should describe what the scientific leadership looks like, what scientific leadership is responsible for and how the scientific leadership will manage all aspects of the collaboration.
- The By-Laws should specify the Spokesperson(s) election process and any unique requirements for spokesperson(s).

Spokesperson with Deputy or Co-Spokespersons

- **The by-laws should define the scientific leadership.**
 - **Is the collaboration represented by one spokesperson or two co-spokespersons?**
 - **If one spokesperson, will there be a deputy?**
 - **If two spokespersons, will there be requirements? (such as geographical or must be different institutions...etc)**
- **The by-laws should define the scientific leadership requirements and the election process.**
 - **What are the spokesperson nominating requirements?**
 - **How do candidates accept? For example, is a candidate required to submit a vision statement.**
 - **Being a spokesperson is a demanding time commitment; will there a minimum time commitment for accepting the spokesperson nomination?**
 - **How long will a person be spokesperson? Is there a term limit?**
 - **How frequent are the elections? (if co-spokespersons, do you stagger terms between the two candidates?)**
 - **Who can vote? What is the voting process?**
 - **If there is a spokesperson and deputy, is the deputy also an elected position?**

Spokesperson with Deputy or Co-Spokespersons

- **The by-laws should define how the spokesperson(s) creates and modifies management structure (related to collaboration, not project)**
 - **How will the spokesperson fill leadership positions in physics, technical & management areas? (not project).**
 - **What will be criteria for the spokesperson to follow? Will the spokesperson be required to get IB approval?**
 - **What is the procedure to add a new physics group to collaboration structure for example?**
 - **How will the spokesperson organize and run collaboration meetings, etc.?**
- **The Spokesperson as the scientific leadership is usually the primary contact with a host laboratory or institution , the funding agencies and the press.**
 - **How will meetings with agencies, host laboratory or institutions be carried out?**
 - **What are the guidelines for meeting with the press? (For example, will an educational/outreach committee advise and assemble supporting material for the scientific leadership?)**
 - **How is this information communicated to the collaboration?**

By-laws and governance Summary

- I showed you three examples of collaboration by-laws which included an index of chapter titles: Ice Cube, Mu2e and DESI
 - Ice Cube and DESI are online.
 - But there are many more collaboration examples

Bottom line: By-laws should reflect the uniqueness of the collaboration