

The Management Plan of the KLF Collaboration

Adopted: September 19, 2023

The KLF Collaboration, or simply “the Collaboration” in the context of this document, is a group of scientists who are interested in pursuing a diverse program of physics using photon beams in the Hall D facility at Jefferson Lab (JLab). The governance of the Collaboration is laid down in the Management Plan (MP) and Bylaws.

1 The KLF Collaboration membership

The KLF Collaboration membership consists of institutional groups that have submitted a Letter of Intent (LoI) specifying the expected contributions within the scientific and/or technical objectives of the KLF Collaboration. Such contributions may be defined as any component of hardware, software, or any aspect related to the scientific basis of the experiment, and which the collaboration deems important to the pursuit of its objectives.

The list of individual researchers within a group brought forward for membership is the responsibility of the institutional group leader. The list, drawn in good faith by the group leader, is a commitment by the individuals named to fulfill the obligations outlined in the LoI and to be active members of the collaboration in all its aspects.

Membership entails specific contributions to the KLF experiment. As such, a failure by any group to meet its LoI commitments constitutes grounds for removal of the group from the KLF Collaboration membership list. The rules governing such matters will be defined in the appropriate sections of the MP and by the bylaws developed in conjunction with this MP. All members in good standing will enjoy equal rights, opportunities for advancement, voting and decision-making rights.

2 The KLF organizational structure

2.1 The KLF Collaboration membership

Collaboration membership is the source of all decision-making through elected representation, via the general voting procedures on the KLF governance. Even though Collaboration management is a layered structure for organizational and functional

efficiency, Collaboration members may bring concerns, ideas, and suggestions to any group, team, or representative within the collaboration.

2.2 The Executive Group

The Executive Group (EG) consists of three members: the Spokesperson, the Deputy Spokesperson, and the Hall D Leader.

2.2.1 The Spokesperson

The Spokesperson is the Collaboration's central scientific figure and represents the Collaboration to the world. The Spokesperson is expected to be familiar, but not necessarily an expert, with all physics and technical aspects of the experiment. The Spokesperson must provide Collaboration with leadership, encouragement, and continuity.

The Spokesperson is responsible for all scientific and technical affairs of the KLF Collaboration. The Spokesperson is the primary contact and ambassador between the KLF Collaboration and JLab management and is expected to consult often and effectively with the CB Chair and the Hall D Leader. The Spokesperson will nominate the Deputy Spokesperson to the CB for approval.

The term for the Spokesperson is three years and is renewable without any restriction on the number of consecutive terms served. Upon the expiration of the stated term, the CB will call for nominations among the collaboration. The CB will act as an initial search committee to select no more than two candidates, based on technical, scientific, personality traits and, most importantly, leadership qualities, from among the pool of nominees. The CB-endorsed nominee(s) will be presented to the Collaboration membership for a final vote.

2.2.2 The Deputy Spokesperson

The Deputy Spokesperson shares the Spokesperson's load and acts as a stand-in during absence and as a close advisor. The Deputy Spokesperson will generally carry duties and responsibilities assigned by the Spokesperson. In case the Spokesperson is either removed from office or resigns, the Deputy Spokesperson will be assigned as acting Spokesperson until the collaboration elects a new Spokesperson.

The Deputy Spokesperson will be selected by the Spokesperson from among the Collaboration membership and presented to the CB for confirmation only. A rejection will require a two-thirds majority vote by the CB members.

The normal term for the Deputy Spokesperson coincides with that of the Spokesperson. There is no limit on the number of consecutive terms the Deputy Spokesperson may serve.

2.2.3 The Hall D Leader

The Hall D Leader is a JLab staff physicist appointed by JLab management with input from the KLF collaboration. If the Hall D Leader is not already a Collaboration member, the Collaboration will invite them to join upon acceptance of the position.

The Hall D Leader will be the official representative of JLab management within the collaboration. The coordination of all elements necessary to deliver a high-quality electron beam to the tagging facility is primarily the responsibility of the Hall D Leader. All safety related administrative and engineering procedures and controls are also within the Hall D Leader's direct responsibility and authority. In addition, the Hall D leader will oversee any detector design, construction, and installation.

2.3 The Physics Analysis Coordinator

The Physics Analysis Coordinator is an elected position with the responsibility for overseeing physics analyses and coordinating the publication and presentation of physics results in a timely and responsible fashion. The Physics Analysis Coordinator is the chair of the Physics Working Group and will work with the Spokesperson to coordinate and petition for invited and contributed talks.

The term for Physics Analysis Coordinator is three years and offset by a year from the Spokesperson's term. The position is renewable without any restriction on the number of consecutive terms served. Upon the expiration of the stated term, the CB will call for nominations within the collaboration. The CB will act as an initial search committee to select no more than two candidates from among the nominees. The CB-endorsed nominee(s) will be presented to the Collaboration membership for a final vote.

2.4 The Working Groups

The collaboration will maintain a list of official working groups. The working group (WG) concept encompasses groups of Collaboration members working together on specific aspects of the experiment based on expertise, interest, and individual obligations. It foresees an open architecture where members can contribute to more than one WG and where WGs may be added or dissolved as the need arises.

2.5 The Collaboration Board

2.5.1 The structure of the CB

The Collaboration Board is the elected representative body of the collaboration. Its membership will consist of six voting members called CB Officers. The CB Officers will be elected directly by the Collaboration membership, and they will choose their own Chairperson. Members of the Executive Group are ineligible for CB membership but may attend CB meetings upon invitation. No more than one voting member per institution or institutional group may be elected to serve on the CB. The CB membership tenure will be three years, with no more than two terms served consecutively by any member. If a current CB member changes institutions, the CB member will continue to serve on the CB for the remaining term as originally elected.

2.5.2 The mandate of the CB

The role of the CB is to address all issues related to the overall framework of the collaboration. It will act as custodian of the bylaws and function in accordance with these bylaws concerning new membership applications as well as changes to the existing membership. On major issues which affect the structure of the collaboration and the MP, votes from both the CB and the general membership will be required.

The CB represents the interests of the membership in all aspects relating to the objectives of the KLF Collaboration. The CB will meet as needs arise, and not less than three times within a calendar year. It is expected that the CB Chair will play an active role in the governance of the collaboration and will bring issues of interest and concern of the membership to the attention of the EG and JLab management. The CB may initiate a membership vote on the removal of either the Spokesperson or Deputy Spokesperson, following a two-thirds majority vote of the CB.

The CB and EG are entrusted with the well-being of the Collaboration. All avenues of communication and substantive exchange of views will be pursued among these two committees, and electronic polling and conference calls will be employed to enhance the time of response and frequency of contact between these two groups, supplementing the formal CB meetings.

2.5.3 The Chair of the Collaboration Board

The Chair, elected by the board of its six members, will be responsible for calling CB meetings. However, any CB Officer can request to the Chair that a meeting be held. The Chair will consult with the other Officers and decide on the merit of such a request. The

Chair will announce general Collaboration meetings in consultation with the Spokesperson.

The CB Chair, like the Spokesperson, is a position of high responsibility and sensitivity because the role is primarily that of human interaction rather than technical aspects. It is expected that on the issue of voting the Chair will not vote on routine matters where a majority is required, thus eliminating the possibility of split decisions in the six-member committee. If the Chair wants to vote on such matters, the CB members present must elect an alternate Chair from among themselves who agrees to chair the meeting. On issues that require a two-thirds majority, all members of the CB are eligible to cast a vote. Finally, the Chair is responsible for reporting on the activities of the CB to the Collaboration.

2.5.4 General duties of CB Officers

The duties of the other five CB Officers reflect the mandate of the CB, for example, dealing with membership, nominations, and publication issues. If the need arises, one or more Officers may request the formation of temporary subcommittees to assist in specific tasks. Such subcommittees are advisory to the CB and are to be recruited among Collaboration members. If necessary, non-Collaboration members may be invited to participate due to expertise and specific skills.

2.6 Diversity and Inclusion Group

The KLF Collaboration affirms that diversity of experience, culture, and perspective is essential to achieving its objectives in producing and sharing relevant research that furthers our understanding of the physical world. Thus, the Collaboration is committed to maintaining an inclusive and equitable working environment for all members. The purpose of the Diversity and Inclusion Group (in this section, “the Group”) is to foster such an atmosphere of inclusivity and equity among all Collaboration members. There are two roles within the Diversity and Inclusion Group: Diversity and Inclusion Officers (in this section, “Officers”) and a Diversity and Inclusion Committee (in this section, “the Committee”).

2.6.1 Diversity and Inclusion Officers

Diversity and Inclusion Officers shall convey the Collaboration’s stance on matters of Diversity, Equity, and Inclusion among Collaboration members, as well as the broader JLab and nuclear physics community. Officers are charged with maintaining clear and open channels of communication, informing members of resources available to them at either their home institution or JLab, and actively promoting a culture of inclusivity

within the Collaboration. They are also charged with listening and responding in a timely manner to concerns or suggestions raised by Collaboration members. Diversity and Inclusion Officers are encouraged to address concerns within the Collaboration in a way that promotes an atmosphere of inclusion while respecting the desires of those who are reporting the concern. Officers are not responsible for conducting investigations, and, at their discretion, shall guide members to support and advocacy resources at their local institution or the JLab ethics office, as appropriate for a given situation.

There should be two Diversity and Inclusion Officers at any given time. Nominations for Officers are handled by the Diversity and Inclusion Committee, which will subsequently recommend its candidate(s) to the CB. The CB will then make the appointment of Officers from among nominees supplied by the Committee. If the CB finds none of the nominees appropriate, it will request that the Committee supply additional nominees. The Committee will consider criteria such as (but not limited to) seniority, gender, orientation, age, and cultural background. The term for Officers is three years. Terms will begin and end on June 1, and will be staggered such that one new Officer is selected yearly. If an Officer resigns with less than four months left in a term, the Committee may select one of its members to serve the remainder of the term; otherwise, the Committee will solicit nominations for a replacement Officer (in the usual manner) to complete the term. Training for Officers is self-directed.

2.6.2 Diversity and Inclusion Committee

The Diversity and Inclusion Committee will solicit nominees for Diversity and Inclusion Officers and relay their recommendation(s) to the CB. The Committee will provide support to the Officers as needed and provide additional support and advocacy on matters of Diversity, Equity, and Inclusion internally. Additionally, the Committee may suggest educational speakers, materials, and resources to the CB.

The Committee shall consist of the two Diversity and Inclusion Officers, as well as members selected by the CB. All Collaboration members in good standing are eligible to serve on the Committee.

3 Changes to the MP

The structure of the MP can be modified by the two-thirds majority vote rule in both the CB and the KLF general memberships.

4 Summary

Due to the unique character of KLF as an experiment, but with a clear facility component, existing models of collaboration management at JLab could not be easily adopted and a new structure was developed. This management plan creates the minimum structure necessary to accomplish the ultimate objectives of the collaboration. It preserves flexibility, while, at the same time, creating a structure which is well-defined and maximizes the individual talent and contributions of its membership.

5 Original Member Institutions

The following institutions comprised the membership at the date of the adoption of the original management plan:

- YerPhi, Armenia
- U. Andres Bello: Chile
- U. Bonn, Germany
- California State U., USA
- CMU, USA
- CUA, USA
- CNU, USA
- FIU, USA
- FSU, USA
- GWU, USA
- Glasgow U., UK
- Goethe U. Frankfurt, Germany
- IU, USA
- I.N.F.N. Sezione di Catania, Italy
- I.N.F.N. Sezione di Genova, Italy
- I.N.F.N. Sezione di Messina, Italy
- I.N.F.N. Sezione di Roma, Italy
- I.N.F.N. Sezione di Torino, Italy
- Kyoto University, Japan
- ITEP, Russia
- James Madison U., USA
- MEPhi, Russia
- Tsinghua U., China
- Juelich Center for Hadron Phys., Germany
- Lamar U., USA
- NSU, USA
- ODU, USA
- RCNP, Osaka U., Japan
- RUB, Germany
- Tomsk U., Russia

- UR, Canada
- W&M, USA
- UConn, USA
- UTFSM, Chile
- UMASS, Amherst, USA
- UNCW, USA
- Uva, USA
- UoY, UK