

I STAR Collaboration Membership

1 Institutional Membership

Institutions (universities or laboratories) are admitted to the Collaboration by the Council upon recommendation of the STAR Spokesperson(s). Normally an institution will have at least two PhDs who will be individual members of the STAR Collaboration. Each institution is responsible for its list of members and for designating a contact person who will receive and disseminate collaboration information within that institution. In addition, each institution will ensure that its members participate in shift work and a share of service work as required by the Council. When a member institution fails to meet its proportioned shift work requirements it will have authors from that institution removed from the STAR Author List according to the policy approved by the STAR Council (STAR Note 0545).

1.a. New Institutions: New institutions will be admitted to the Collaboration as associate institutions for a period of one year if the application to join is affirmed by a majority of the votes cast in a Council meeting. During that one year each new institution will be associated with a mentoring STAR institution that will assist the new institution to become integrated and productive in STAR. The new institution will be represented on the STAR Council by the mentor institution Council representative. At the conclusion of this one year the new institution may apply for full membership that will include a seat on the Council. Such an application must receive an affirmative vote from at least 75% of all eligible Council voters.

1.b. Inactive Institutions: If a STAR institution is identified by both STAR management and the Council chairperson as inactive in the Collaboration the institution will automatically lose its voting privilege on the Council and will be placed on a one-year probationary status as an associate institution and paired with a mentor institution. The goal of this will be to assist the inactive institution to return to active participation in STAR and full membership. The criteria used to declare a state of inactivity are these:

- i) The number of authors drops below two for a period of one year or more.
- ii) Shift dues are in deficit at the level that triggers author removal (STAR Note 0545). (Service equivalent to shift dues as defined by STAR management is also considered.)
- iii) The Council representative for the institution is missing on three consecutive occasions when a vote is taken, i.e., a council meeting or an online vote.

The institution members may request a discussion of the case by the Council at any time if they believe the probationary status is not warranted. At the end of the probationary year the STAR management and the Council chairperson determine which of the following three actions will be taken:

- i) The institution is deemed to be active in STAR and is returned to normal status.
- ii) The institution is deemed to still be inactive in STAR but can remain as an associate institution providing the institution is able to find a mentor institution with which to be associated and which will represent them on the Council.
- iii) Neither of these two conditions apply so the matter is referred to the Council for disposition. An affirmative vote by at least 75% of all Council members will be required to revoke an institution's membership in the STAR collaboration.

1.c. Withdrawal from the STAR Collaboration: Member institutions may submit their intention to withdraw from the collaboration to the Spokesperson(s). The Spokesperson(s) shall so inform the Council of this action.

The Council may recommend that institutions that have reduced in size below that required for membership of STAR may be accorded special status with continued Council membership, but without voting rights.

2 Individual Membership

Scientists including graduate students, engineers and other technically-oriented persons intending to make a significant contribution to this collaboration over a period of at least one year are eligible to be members. Members of other running RHIC collaborations will not be members of this collaboration without permission from the Council. Members will be associated with an institution that has been admitted to the STAR collaboration.

2.a. Expectations: All individual members will be expected to be active participants in the scientific and technical work of the collaboration. It will be the duty of the Council representative to monitor the activities carried by each collaboration member from that institution. It is expected that individual members will participate in the scientific and technical work in a collegial manner, respecting the integrity of STAR colleagues and the rich cultural and ethnic diversity within the collaboration. Discussions and disputes on scientific and technical matters shall be conducted in civil discourse, and behavior that is disruptive to the work of the collaboration will not be tolerated. By accessing DOE resources and facilities for communication and for fulfilling institutional duties (such as shifts or services), members are expected to be fully cognizant of their rights and limitations. All individual members are expected to abide by STAR bylaws and other established (adopted) policies.

2.b. Consequences: Individual members whose actions appear to be contrary to these expectations will be contacted by the STAR Spokesperson(s) who will address the relevant issues in an attempt to arrive at an appropriate resolution. Should the matters fail to be resolved by the Spokesperson(s) (or the issues involve the Spokesperson(s)) the Council Chair shall appoint several members of the STAR Council who are removed from the relevant issues to gather information, communicate with the affected individual members, address these issues and arrive at an acceptable resolution. A report shall be filed with the Council Chair. If an acceptable resolution cannot be obtained, the Council Chair shall report the matter to the Council at its next meeting (or sooner via electronic communications if the matter requires more urgent attention).

Based on the Council Chair's report, the Council may debate the issues and the affected individual member(s) will be afforded the opportunity to state their case to the Council, respond to questions, and comment on the relevant issues. Depending on the severity of the issues, possible repeated infractions, and the comments of the affected individual member(s), the Council may recommend that the host institution(s) act to address the relevant issues by bringing the individual member(s) in line with the above expectations or by removing the individual member(s) from the host institution's list of collaborating scientists and/or technical personnel, thereby removing the affected individual(s) from collaboration membership. If the host institution is unable or unwilling to abide by the Council's recommendation(s), the Council may deem it necessary to remove the affected member(s) from the list of individual members of the collaboration. An individual member can be removed if 2/3 of the votes, cast by a minimum of 75% of all council members, affirm a motion to remove the individual member. If the motion is passed, the affected individual membership will be revoked immediately.

3 Individual Membership Emeritus

Individual members of the STAR collaboration can be designated as Emeritus members upon recommendation to the council by a council member and approved by a majority of the votes cast at a council meeting. The emeritus member will continue to be a member of the STAR collaboration, will retain all the rights and privileges of individual STAR collaborators, and will remain a STAR author for a period of 5 years after being designated an emeritus member. The emeritus member may request the STAR council to extend the author designation for an additional time up to 5 years based on the activity of the emeritus member in the STAR collaboration. The emeritus member may participate in appropriate STAR meetings, may analyze STAR data, may present STAR Results at professional meetings, and may publish STAR Results, all subject to the same review protocols that apply to all STAR collaborators. The emeritus member will not be required to serve on shifts during STAR data-taking and the emeritus member's institution will not be "charged" for the emeritus member's authorship in

determining shift requirements for the group. The emeritus designation is reserved for those individual members who, near the end of their career, have served the STAR collaboration with distinction in one or more ways. It is expected that the nominating council member will present the case for the emeritus award. Factors that can be considered in deciding on the emeritus award may include (but are not limited to) the following: length of service to the STAR collaboration, noteworthy contributions to detector development and maintenance, special or unique contributions to STAR data-taking and data management, important contributions to the STAR physics program, and recognized service and leadership in the STAR collaboration.

4. Dual STAR and sPHENIX Collaboration Membership

A STAR institution that proposes to have membership in both the STAR Collaboration and the sPHENIX collaboration (Dual Institutional Membership) must make that intention known to the STAR spokesperson(s) and to the sPHENIX spokesperson(s) and the STAR spokesperson(s) shall so apprise the STAR Council chairperson. Institutions that intend to have dual membership shall be guided by the Statement of Principles adopted by both collaborations as follows:

Comparison of independent measurements of the same physical process is an important part of the scientific method and is one reason why two experimental collaborations and two detector facilities have been active during the past decade of the RHIC program. The compelling need for independence, at a minimum, requires that a person participating in a measurement by one collaboration cannot concurrently participate in similar measurements carried out by the other collaboration. Research groups that intend to participate in both experiments should present the case to both collaborations that their activities do not involve participating in the same measurement in both experiments. Moreover, research groups in both collaborations must be transparent in their actions and preserve the integrity of the scientific process by not sharing information between collaborations that could prevent independent verification of a particular analysis. Finally, we recognize that the RHIC program can be enriched by a shared pool of detector and software experts who contribute their expertise to both collaborations to obtain the best results, provided that these experts abide by the statements above as applied to their participation in any analyses.

A *research group* for the purpose of this consideration consists of one or more senior scientists and the students, postdoctoral fellows, and associate scientists that will work on specific measurements in either STAR or sPHENIX or both. Institutions that propose to have Dual Institutional Membership shall include in their proposal the identified research groups (names and positions) and their proposed and/or present scientific activities in STAR and/or sPHENIX.

Pursuant to the spokesperson(s) apprising the STAR Council, the Council shall consider the intended Dual Institutional Membership and guided by the Statement of Principles and Further Guidelines for Dual Membership (see Appendix) may approve the Dual Institutional Membership by a majority of the members voting on the matter.

Individual members of STAR institutions with Dual Institutional Membership in both STAR and sPHENIX who intend to participate in measurements on sPHENIX must make their intention known to their respective STAR Council representative and to the STAR spokesperson(s). The Spokesperson(s) will evaluate the proposed work on sPHENIX and render a judgment to approve or disapprove the intended work on sPHENIX. The Spokesperson(s) will then apprise the STAR Council chairperson of this action. The STAR Council member for each STAR institution with Dual Institutional Membership shall be responsible for the administration of this Dual Institutional Membership, including the scientific work of those individual members with Dual Individual Membership, in accord Statement of Principles and with the "Further Guidelines for Dual Membership" appended to these bylaws.

An institution from the sPHENIX collaboration that intends to join the STAR Collaboration should abide by and follow the bylaws above under **1 STAR Institutional Membership**.

II Council

1 Membership

The Council will consist of one individual member from each member institution who will represent the individual membership from that institution. The Spokesperson(s) and Deputy Spokespersons will be ex-officio members of the Council. The Council may add extra members.

Junior members of the collaboration comprise all graduate students and those with no more than five years post-PhD experience. They will be represented on the Council by up to three at-large junior members at least one of whom should be a graduate student. Candidates for at-large positions can be either self-nominated or nominated by other juniors after a call for nominations by the current junior members of the Council. The election will be conducted by a committee that is appointed by the current junior members of Council. The at-large representatives will be elected by junior members of the collaboration. Elections should take place at least every two years. The normal term for junior representatives will be two years.

2 Function

The Council will deal with general issues that concern the collaboration. Examples include the organization and governance of the Collaboration, adoption of bylaws and amendments thereto, the policy on admission of new members institutions to the Collaboration, and Policies for the Publication and Presentation of STAR Results. In addition, the Council is responsible for election of the Spokesperson(s) and for approval of Deputy Spokesperson appointments.

3 Governance and Meetings

The Chairperson of the Council is elected by a vote of the Council from among its ranks. The Council Chair may select a deputy from among Council members, subject to Council's approval. The term of office is nominally two years.

Council meetings will normally be held during collaboration meetings. Meetings via teleconferencing and/or videoconferencing are permitted. All meetings will be guided by Robert's Rules of Order. The Council Chairperson shall appoint a parliamentarian whose duty shall be to serve as the official source of information on procedures based on Roberts Rules of Order.

The final draft agenda for the meeting and any associated documentation should be made available to Council members at least two weeks before the meeting so that members have the opportunity to add items to the agenda. Those issues that require votes should be clearly stated on the agenda. At the discretion of the Council Chair, additional meetings can be called with at least two weeks notice. Any Council member unable to attend a given meeting can name a substitute from the same institution or group. All Council meetings will include a closed session, without the Spokesperson(s) and Deputy Spokesperson(s) present. Elections by the Council of the Spokesperson(s) or the Council Chair, must be announced publicly to the entire collaboration at least two weeks in advance of the meeting at which the elections will take place.

The Council Chair shall see that minutes of meetings are taken and published within two weeks of the meeting date.

4 Voting

The Council will make decisions on all issues based on a simple majority of all Council members who have voted except for the following votes: elections, the admission of new institutions, the removal of current institutions, and, the removal of an individual member of the collaboration. Any member may call for a secret ballot. Votes on admitting new member institutions, amending these bylaws, or modifications of the Policies for the Publication and Presentation of STAR

Results must be announced two weeks ahead of time, as must details of how the voting will take place. Electronic voting on all issues is permissible provided that the motion is duly made and seconded and that discussion or debate of the motion has taken place and is properly closed. Proxies are allowed for non-election votes. An absent member may appoint another member of Council or the Council Chair as a proxy by so notifying the Council Chair in advance of the voting. An absent member can specify how his/her vote is to be cast or leave this decision to the member who has been appointed as proxy. Absent members who do not appoint proxies will be deemed to have abstained from the vote.

The election of the new Council Chair will take place at a Council meeting nominally 6 months before the end of the current Chair's term of office. Subject to the approval of the Council, the current Council Chair shall appoint a nominating committee consisting of a chair and 2 Council members six months prior to the election. The nominating committee will solicit nominations from the Council, actively seek candidates as needed, and oversee the election. The Council Chair is elected by a simple majority of the votes cast by those present at the Council meeting. A Council member is eligible to serve at most two consecutive terms as Council Chair.

Voting for Spokesperson(s) will be carried out by secret ballot, and without proxies, at publicly announced Council meetings. Precise details of how voting for the Spokesperson(s) will proceed must be discussed and agreed upon, by a simple majority of all Council members, at least 3 months prior to the election. A minimum of 75% of Council members must vote in the election of the Spokesperson(s) for a valid vote. The candidates may be single individuals or two individuals who propose to serve as a team. An individual may appear only once on the ballot for Spokesperson(s). A candidate or a team of two candidates for Spokesperson(s) can be elected in the first round of voting only if he or she receives more than 50% of all votes cast, including abstentions. If no candidate or team of two candidates obtains this absolute majority, runoff rounds will be conducted for the top vote-getters until one candidate or team of two candidates obtains more than 50% of the votes cast, not counting abstentions. An individual is eligible to serve at most two consecutive terms as Spokesperson(s).

Candidates for Spokesperson(s) may be nominated by any member of the collaboration. An ad hoc nomination committee will be established at the Council meeting nominally 6 months before the election of the Spokesperson(s). The committee, consisting of the Council Chair and at least two Council members appointed by the Chair and approved by the Council, will actively seek candidates and solicit nominations. The nomination committee will present the list of candidates to the collaboration at least 45 days before the election. Further nominations may be made by any individual member of the Collaboration until the closing date for nominations that will be one month before the election. The nomination committee will prepare and oversee the ballots when the election takes place.

III Spokesperson(s)

1 Selection

The Council elects, as described above, a Spokesperson or a team of two Spokespersons who then serve at the discretion of the Council. The normal term of office is 3 years.

The Council can decide to terminate the term of office of the Spokesperson(s) at any time and to request new elections. Such a termination requires an affirmative vote of at least $3/4$ of the votes cast from a quorum of at least $2/3$ of the Council members.

2 Function of the Spokesperson(s)

The Spokesperson(s) will be the representative of the Collaboration in scientific, technical, and managerial concerns. The Spokesperson(s) will be concerned not only with the design and construction of the detector and its upgrades, but also with all other preparations required to operate the experiment efficiently and to publish results in a timely and responsible fashion, and

with continued leadership of the Collaboration.

In the case of dual Spokespersons, the Spokespersons shall, within one month following the election, present to the Council for its review their plan to carry out the designated duties of the office of Spokesperson(s). The proposed plan shall be intentionally clear on responsibilities of the two Spokespersons and the manner in which they intend to interact with the Council, members of the collaboration, BNL, and outside agencies. Proposed changes in this plan during the term of office for the spokespersons shall be presented to the Council prior to implementation for their comment within a specified time.

3 Deputy Spokespersons

Deputy Spokespersons may be appointed by the Spokesperson(s) subject to the approval of the Council. The Spokesperson(s) and the deputies must all belong to different institutions. The deputy Spokespersons provide support and assistance to the Spokesperson(s) in the management of the experiment and collaboration. They may be authorized by the Spokesperson(s) to act on his/her/their behalf and to represent the Collaboration.

IV Adoption

Modifications to the bylaws become effective upon adoption unless explicitly stated otherwise.

Appendix

1. Further Guidelines for Dual Membership (Adopted 2 March 2023)

1. Research groups with dual membership shall provide to the spokesperson(s) or the spokesperson(s) delegate (SD) the specific plans that will be in place at their institution to mitigate the possibility of compromising the independence of the scientific work of the two collaborations. The SD will share this information with the council chairperson.
2. Members of a STAR research group who intend to have Dual Individual Membership by working on/ with the sPHENIX collaboration must submit a detailed description of their intended work on sPHENIX and STAR to their Council representative and to the STAR Spokesperson(s). This intended work, guided by the Statement of Principles and these Guidelines, will be reviewed by the STAR Spokesperson(s) and approved if appropriate. If the proposed work is not approved, the plan may be revised to address the concerns raised and resubmitted. The STAR Council chairperson will be apprised of these actions.
3. If a member of a research group with Dual Individual Membership is a primary author or member of an internal review committee (GPC) on a paper from the STAR collaboration, then all group members should not be authors on a similar paper to be published by sPHENIX, and vice versa to avoid the presumption of possible compromised independence of the two experiments. STAR members with Dual Individual Membership must inform the STAR spokesperson(s) or the SD and their STAR Council representative, in writing, of any sPHENIX paper on which they intend to be a primary author or member of a GPC. The STAR Council representative must ensure that these research group members' names are not on a similar paper from the STAR collaboration.
4. Members of a research group with Dual Individual Membership should exercise special caution in their participation with STAR Physics Working Groups (PWG) whose work overlaps significantly with scientific work they are doing on sPHENIX. Special caution should also be exercised when participating in plenary sessions at STAR collaboration meetings to avoid reports on matters that are closely related to work being done at sPHENIX. Such caution also applies to participation in conversations online and in

person that include matters that closely overlap with work being done at sPHENIX. Personal integrity in these matters is crucial to maintain the scientific integrity of the work of the STAR and sPHENIX collaborations. It is expected that the council representative will monitor this and report on the intentions and activities of those members of the research group to the council chairperson and to the SD.

5. Persons with Dual Individual Membership should assume detector expert (on call) positions in both STAR and sPHENIX only after establishing how such a role will be managed so as not to compromise the immediate on-call need of either experiment and to submit this plan to the institutional STAR council representative who will report on these intentions and the associated plan of those members of the research group to the SD and to the council chairperson. If the SD does not approve of the plan the member must modify the plan to be accepted or relinquish such on-call expert responsibilities that may be deemed unacceptable.
6. Persons with Dual Individual Membership will not assume any of the following STAR leadership roles:
 - a. STAR spokesperson or a member of the management team including the Physics Analysis Coordinator.
 - b. Council chairperson
 - c. STAR Run Coordinator
 - d. PWG Convener
 - e. Member of the STAR Talks Committee