ePIC membership policy update

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What is the membership policy

- **This policy defines the process, immediately following admission to the ePIC Collaboration, in which an <u>institution</u> and its <u>members</u> establish and maintain the status of "good standing" (ePIC Charter v1.0, section 4.3).**
  - Individual good standing is a precondition for authorship and for eligibility in leadership positions.
  - Individual group standing also requires that one's institution be in good standing.

- **Institutional good standing requires the annual collection and review of information about an institution's members and their contributions to ePIC.**
  - This information will typically be utilized to ensure continuation of good standing for the institution.
  - When exceptions arise, the ePIC Membership Committee will provide relevant information to the ePIC Collaboration Council for subsequent deliberations.

- **Individual good standing is envisioned by the charter as a "one-time" separate process requiring - specifically for authorship - an identifiable contribution of ePIC service work in addition from each individual (ePIC Charter v1.0, section 4.5).**
  - In the current stage of the experiment, this is <u>reduced</u> to a more generic contribution to the experiment.
  - However, the Collaboration should expect the policy to evolve to something more substantive in the future.

- **This policy is intended to be revised as the ePIC Collaboration evolves, and the current version should be reviewed and updated no later than March 2026**
  - We wanted something to trigger a full review in two years, to avoid the situation being static

Statement of Service (SoS)

- **Continued good standing in the ePIC Collaboration requires membership in an institution in good standing and inclusion in an annual institutional "statement of service".**

- **The annual statement of service (provided by an institution's CC member[s]) is intended to**
  - reflect institutional commitments for the coming year,
  - document contributions to ePIC carried out during the previous year.

- **It is expected that the majority of institutions will maintain good standing, once obtained, while they are active members of ePIC.**
  - We expect this process to be light and easy, and only trigger action in exceptional cases

- **The statement of service is required to include:**
  - A list of all institution members: name, current position, and commitment to ePIC in units of full-time equivalent (FTE) per year and whether they need individual good standing
  - Association of each member to specific activity areas, A brief comment and FTE declaration for each member's contributions to their specific activity area(s) since the last statement of service submission
  - A brief comment and FTE estimate for each member's plans to contribute to their specific activity area(s) over the next year.

- **"Activity areas" are any officially approved activity within the Collaboration**
  - detector, computing, physics, or other WGs
  - We envision that group administration supporting ePIC work will also be included

- **ePIC expects sustained contributions to an activity area over several years, but these plans can evolve and this will be reflected in new statements of service**

Initial membership

- **Upon ePIC formation, all groups were given good standing pending a first review.**
  - Approval of this policy will trigger the solicitation of institutional statements of service and subsequent review.
  - This process is expected to be completed within one year following the approval meeting.
  - The key ask here is "**when you join, tell ePIC what you want to do**."

- **New groups will be admitted as a member institute, but without good standing (i.e. not authors)**
  - An institution will obtain good standing based on an initial review of its proposed institutional commitment, typically after 6 months
  - After this, they follow the normal annual ePIC review process

Maintenance of good standing

- **Maintaining the good standing of an institution will require substantial contributions to ePIC**
  - service work towards detector development, physics studies, computing infrastructure, or other Collaboration work.

- **In the current policy, the total contributed work from an institute must equal or exceed 0.2 FTE (averaged over a year) per group member in good standing.**
  - This threshold may be higher in the future, and include specific service requirements, e.g. for experimental shifts - but not now

- **Some members of any particular group may not need to become members in good standing, e.g. undergraduate students or technical staff.**
  - Those contributions are credited toward the total FTE for an institution while not increasing the number of members in good standing.
  - Thus, they effectively reduce the contributions needed by other members of their group to comply with the overall 0.2 FTE requirement.
  - In principle, they can be authors on papers to which they have contributed

Annual reviews of institutions

- **Starting in 2025, one year after the expected approval of this policy, the eMC will organize annual reviews of institutional statements of service**
    - These reflect contributions over the previous year and the work planned for the upcoming year.
    - The eMC is responsible for signing off on the statement of service, with help from individual "activity coordinators" both to assess individual contributions from the previous year, and plans for the coming year.

- **If the outcome of an annual review leads the eMC to conclude that an institute's good standing could be suspended, policy defines the process**
    - The eMC will discuss the situation with the relevant CC member(s).
    - Ideally, modest changes in the group's commitments to ePIC (and competing non-ePIC efforts) can be made to bring the group's commitments in line with their available workforce.

- **Institutions also have substantial responsibilities to the ePIC Collaboration through their institutional CC representative(s), e.g. attendance at CC meetings and voting in CC elections.**
    - To emphasize the importance of this work, suspension of an institutes' CC vote (as outlined in ePIC Charter v1.0, section 5.3, based on lack of participation) can serve as the basis for an institution to have its good standing suspended.
    - Translation: please come to ePIC CC meetings and vote!

Individuals in institutional good standing

- **Individual contributions to a given institution primarily serve as the basis for the annual institutional review.**
  - These individual contributions are specified in the institutional statements of service, and the eMC should solicit input from relevant ePIC activity coordinators to assess them, e.g. based on posted talks and notes.
  - Activity coordinators may also delegate this role to colleagues with appropriate expertise.
  - Translation: "individual work is an important part of institutional good standing"

- **If an individual with good standing moves to an institution also in good standing, their standing transfers to the new institution.**
  - If they move to a newly-admitted institution without good standing, they can retain their status for up to one year, associated with their previous affiliation until the new institution achieves good standing.
  - If they leave the ePIC Collaboration altogether, they retain their standing for one year, associated with their previous affiliation.

Obtaining individual good standing

- **Individuals become members of ePIC upon being registered with the Collaboration by their institutional CC representative.**
  - Each member thus has the rights of membership without good standing (as stated in the ePIC Charter v1.0, Section 4.4)

- **Upon approval of this membership policy, all current members of ePIC will be given good standing.**

- **Collaborators joining after that date can obtain good standing upon completion of an initial period of membership that contributes to the success of the ePIC Collaboration**
  - This initial period of membership is expected to be at least 6 months of engaged participation and contribution to ePIC, but shorter durations can be envisioned during the early phases of the experiment.
  - At the end of the 6 month period (or earlier), the institutional CC representative(s) should ask the eMC to review the individual's contributions and their plans for the upcoming year, in consultation with the appropriate activity coordinators.
  - The approval of the eMC is then sufficient to allow the individual to become an individual in good standing.
  - Translation: a new person contributes to ePIC for 6 months, and then they get good standing once ePIC knows what they are doing

Leaving ePIC

- **It is expected that institutions will leave ePIC at some point, e.g. if the primary faculty moves institutions or changes their research plans**
  - A member institution choosing to withdraw from the ePIC Collaboration must communicate their intent in writing in a timely way to the ePIC Spokesperson, eMC chair and CC chair.

- **The departing institution is expected to make its best efforts to fulfill the institutional commitments enumerated on its last submitted annual statement of service.**

- **In order to allow for the completion of ongoing scientific work, institutional good standing is maintained for one year after it has notified its intention to withdraw from the Collaboration.**
  - Similarly, individual good standing is extended to all of the group's members who had good standing at the time of the departure.
  - This allows the institution and its members to remain on scientific and technical papers released during this period.

SoS: Theory and practice

- **This process sounds complex, since we had to write it very precisely**

- **We expect it to be very simple in practice**
  - A group (i.e. institution) leader typically knows what the group members (i.e. individuals) are doing
  - Just fill out a row for each member in a spreadsheet that we will provide

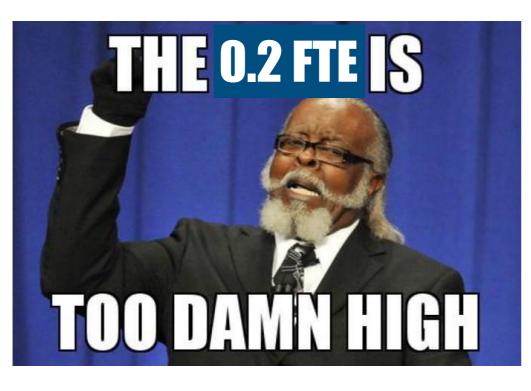| Institution	Name (autogenerated)	ORCID (pulled via name)	Activity area (ePIC)	Task (autogenerated?)	Planned FTE	Actual FTE
INFN Bologna ▾	Pietro Antonioli ▾	0000-0001-7516-3726	DSC dRICH ▾	DSL	0.1	

  - If a person does several different things, they get several different rows
  - Eventually this will be in a DB, but for now it will be in a linked set of google sheets

- **We expect the review to be simple as well**
  - Activity coordinators get lists and only react if people are clearly not doing the work they claim to be doing

- **One key distinction: the eMC manages <u>people</u>, not <u>work</u>**
  - The activity coordinators manage the work, and we just help them know who the people are and how much they are planning to do

Feedback

- **Thanks to the people/groups who replied**
  - Kevin Adkins (Morehead), BNL Physics, Silvia Dalla Torre (INFN), Adam Gibson-Even (Valpo), Rachel Montgomery (Glasgow), Rosi Reed (Lehigh), Anselm Vossen (Duke)

- **Two primary classes of comments**
  - The average 0.2 FTE requirement is too high
  - The annual SoS/review process is too heavy

Responses: 0.2 FTE

- **Primary issue:**
  - Some faculty have large teaching loads and few grad/postdocs, so 0.2 FTE will exclude them
  - Many only have 0.4-0.5 FTE available for research, and often participate in multiple experiments (esp. now)

- **Possible solutions:**
  - 0.2 is the fraction of available research time
    - *Creates a new set of numbers per individual to track over time*
  - Move from an explicit FTE requirement to either something more vague ("significant") or task based (e.g. a particular study)
    - *In our opinion this moves too much responsibility over assessing the work itself into the eMC, rather than just accounting for a simpler measure of individual availability/contributions to ePIC*

- **Our conclusion was that the simplest way to address this is to**
  - Reduce the baseline requirement to 0.15 FTE
  - Provide language in the policy to allow a group to request an exception, which will be kept in a list by the eMC
    - *Of course, if >50% of groups request one, then the policy will need further work!*

Responses: SoS process

- **No-one wants to create unneeded bureaucratic load on the collaboration members**

- **Our feeling is that a group leader will already know**
  - Who is in their group
  - How much time the individuals spend on various tasks (e.g. days per typical week)

- **They just need to encode that in a plan at the start of the year, and review at the end of the year**
  - We do not expect anyone will have time for actual "audits" or "reviews" of group work, unless a group is clearly not providing contributions
  - Meanwhile, the collaboration will generally have useful information about what its members are doing

- **So we envision that the process will typically be lightweight and only require substantial attention once a year**

Terminology

- **We feel that the basic idea of "good standing" serves as an incentive, to provide a prize for consistent contributions to ePIC**
  - Some concern that not having it is seen as a "negative"
  - This might be perceived as relegating technical staff and undergrads to "second class" status

- **We have discussed this and propose that ePIC moves to an alternate language**
  - "member" remains the same, to cover the case where an individual can start to do work, but cannot sign papers, give talks, or convene groups
  - Most of the long-term benefit of "good standing" rests in authorship, so we suggest moving to "author" instead
    - *Talks and convenorships are implicit in this language*

- **Seems like a simple change, but will require modification to charter**
  - We are agnostic to this choice but can see some benefit of avoiding judgment terms like "good"

Next steps

- **Propose**
  - Circulate updated draft v0.95 Monday, April 29
  - Request comments back by Friday, May 10
    - *Important for groups to provide input*
  - Circulate Draft v1.0 May 13 for endorsement
    - *Three weeks —> Finalized June 3*

- **In meantime, we would like to start circulating group commitment forms**
  - Information needed by collaboration

- **One technical hitch: ePIC phonebook under construction**
  - However it is incomplete - we very much need a full census, including ORCID etc.
  - In short term, we can live with a large spreadsheet
  - Plan development of a DB-based solution

Today

- **Discussion of primary feedback points**

- **Schedule for redistribution of policy doc**

From February, with one change

Timeline for formalizing membership

Q1 2024	Q2 2024	Q3 2024	Q4 2024	Q1 2025	Q2 2025	Q3 2025	Q4 2025
ANL meeting	Policy approval		TDR completion		Group reviews		
	Group commitment						

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- **Draft release of membership policy after Argonne collaboration meeting**
  - Ideally March/April approval, or latest by Lehigh meeting

- **<u>Provisional</u> good standing given to all active groups**
  - As soon as membership policy is approved

- **Will concurrently (ASAP) solicit group commitment documentation, to be collected during Q2 2024**
  - Electronic form circulated to groups during Q1 2024
  - Deadline by end of Q2 2024

- **First institutional reviews planned in Q2/Q3 2025**
  - We will propose to have eMC manage this process for ePIC
  - Important decisions will be referred to CC (communicated via chairs)

Primary feedback

- **0.2 FTE averaged over a group**
  - Pros:
    - *Fair*
    - *Clear*
  - Cons:
    - *University faculty (US) do not have more than 0.4-0.5 for research total and often live on 2-3 experiments*
  - Concerns
    - *Using undergrads to increase FTE average w/o requesting authorship hurts undergrads (I would argue that they should not aim for full authorship, but exceptional one)*
  - Misunderstandings
    - *We can easily classify group leaders as contributing active labor to ePIC, e.g. if they work at providing resources and opportunities to ePIC*
    - *Activity areas are *any* activity that is officially organized by ePIC*
  - Solutions
    - *0.15 FTE (~0.5/3)*
    - *Formal exception policy*

- **I have been trying to get people on the phone for feedback on the proposed solution (e.g. Adam Gibson, Bedanga) but it's a busy time**

- **Responses**
  - DH: Wants to account for tasks, not FTE (similar for Ross)
  - PA: New idea - set a different threshold for research staff, university staff (equiv. to scaling per person)
  - SN: propose reduction as temporary, and move to 0.2?
  - HC:

Primary feedback

- **Concerns about Statements of service**
  - Pros
    - *experiment requested tracking of activity as a major component of this committee*
  - Cons
    - *None that I can see - some people don't like assigning FTE*
  - Concerns
    - *Difficult, time consuming, etc.*
    - *"Heavy process"*
  - Misunderstanding
    - *We envision this as a list of one or more items per person, to be updated once/year*
    - *Typically we expect to as activity coordinators to review the list to flag anomalies - mostly expect it to be smooth*
    - *People will *not* have to account for FTE in terms of literal hours*
  - Solutions
    - *Better explanation of inputs and purpose of this process*
    - *Distribution of statement form for feedback (we should have done this before)*

- **Serious issue: what do we do with the forms we receive**
  - We need some sort of DB for this
  - Perhaps we should be bootstrapping a simple service, e.g. at BNL

Proposal: Institute team list

- **Institute list needed yearly, as input into updating phonebook info**
  - Who is in group, left group, etc.
  - Fields are simple
    - *Last name*
    - *First name*
    - *ORCID (proposal for primary key for all ePIC members, including technical staff) - only generic way to resolve name ambiguities (& errors)*
    - *Position from a fixed list*
      - Enrolled PhD
      - Post-doc
      - Physicist, Academic staff
      - Physicist, Research staff (for laboratories, INFN, IN2P3, etc.)
      - Engineer
      - Technician
      - (PAS) Undergrad? "Other-type" student
    - *FTE on ePIC*

Proposal continued: Tasks

	A	B	C	D	E	F	G
1	Institution	Name (autogenerated)	ORCID (pulled via name)	Activity area (ePIC)	Task (autogenerated?)	Planned FTE	Actual FTE
2	IT INFN Bologna ▾	Antonioli, Pietro ▾	0000-0001-7516-3726	DSC dRICH ▾	DSL	0.1	
3	IT INFN Bologna ▾	Antonioli, Pietro ▾	0000-0001-7516-3726	CC PID ▾	Software	0.1	
4	USA BNL ▾	Steinberg, Peter ▾	0000-0002-5349-8370	DSC LFHCal ▾	Simulations	0.1	

- **Might need to manage these as actual spreadsheet files, if no DB infrastructure can be developed soon**

- **Institution needs to be constrained to official list**
  - e.g. spreadsheet from CC (ideally with unique ID for each institute, not CC member)

- **Name list should be autogenerated from institute team list (via ORCID)**
  - ORCID may not be needed if we set up right

- **Activity area (AA) should be official names from ePIC org chart →**
  - Teams from computing, WGs, physics, DSC

- **Tasks could be custom list from each AA**
  - Proposing using a "standard list" for now →

ePIC Collaboration Structure

- DSL
- DDSL
- Local group administration
- CC member
- Committee member
- Sensor characterization
- Electronics
- DAQ
- Simulation
- Reconstruction
- Physics perfomance
- Cooling
- Mechanics
- Services
- Active material studies (TB, lab)
- Misc.