



ATHENA CHARTER

Approved on 07/01/2021

1. Preamble

ATHENA (A Totally Hermetic Electron-Nucleus Apparatus) is a collaboration of Institutions, which have joined together to build and run the ATHENA detector to exploit the physics potential of the Electron-Ion Collider (EIC) at Brookhaven National Laboratory. Henceforth ATHENA is referred to as "the Collaboration."

The Collaboration is guided by the principles of democracy, separation of policymaking and executive powers, as well as limited terms in office. It is committed to foster a respectful, diverse, tolerant, and welcoming environment and a culture that promotes the development of excellence in scientific research, human collaboration, and the nurturing of scientific careers.

All Collaboration members shall have equivalent rights and obligations as set forth within the provisions of its governance documents. This includes access to any and all data taken in the course of the operation of the experiment.

This Charter describes the overall governance structure of the Collaboration, including the Institutional Board, the Executive Board, and the Spokesperson position. The Charter is accompanied by a set of supplementary Policies that define details of the membership, election, management structure, and other aspects of Collaboration functions. Changes to the Charter require support by a 2/3 majority of all votes available within the Institutional Board; changes to Policies require a simple majority of the available Institutional Board votes.

The Institutional Board is composed of all participating Institutions and is the governing body of the Collaboration. It makes all major policy decisions within the Collaboration. The Collaboration is led by a Spokesperson who is responsible for the scientific and technical direction of the experiment, following the policies agreed by the Institutional Board. The Spokesperson is the principal representative of the Collaboration in interactions with BNL & DOE and its committees, the broader physics community, and the general public. The Spokesperson is elected by the Institutional Board. The Executive Board is concerned with the day-to-day operation of the

Collaboration and is chaired by the Spokesperson. The Institutional Board ratifies the Executive Board composition.

It is the responsibility of the Institutional Board Chairperson to ensure that this document, including the supplemental Policies, is kept up to date in a timely fashion and accessible to all members of the Collaboration.

2. Collaboration Membership

Membership in ATHENA shall be by Institution, with each Institution expected to meet institutional requirements as defined and maintained by the Institutional Board. New Institutions (universities or laboratories) are admitted to the Collaboration by the Institutional Board upon recommendation of the Spokesperson.

Each Institution is responsible for its list of members and for designating a representative for the Institutional Board. In addition, each Institution ensures that its members collectively fulfill their Institution share of Collaboration responsibilities as required by the Institutional Board. The Institutional Board shall maintain a list of institutional responsibilities that shall include but not be limited to shift duties and service work. Institutional responsibilities shall be set in proportion to the number of collaborators from each Institution, where appropriate. It is expected that all individual members are participating in the scientific and technical work consistent with the Collaboration Code of Conduct described in this Charter.

Further details on Collaboration membership, admission of new Institutional groups, and retirement or suspension of the existing members are prescribed in the ATHENA Membership Policy. The Collaboration Election Policy specifies the voting process on election matters.

3. Spokesperson

The Spokesperson is the principal representative of the Collaboration in all scientific, technical, and managerial matters pertaining to the Collaboration. The Spokesperson is the final entity responsible for publishing scientific results in a timely and reasonable fashion and organizing

collaboration meetings. The Spokesperson serves at the discretion of the Institutional Board and with the advice of the Executive Board.

A Deputy Spokesperson assists the Spokesperson. The Spokesperson and the Deputy Spokesperson must belong to different institutions. The Deputy Spokesperson provides support and assistance to the Spokesperson in the management of the experiment and Collaboration. He/she may be authorized by the Spokesperson to act on his/her behalf and to represent the Collaboration.

Further details on Spokesperson duties are detailed in the Collaboration Spokesperson Policy. The Collaboration Election Policy prescribes the election details for Spokespersons.

4. Executive Board

ATHENA establishes an Executive Board that advises the Spokesperson on:

- experiment construction, operations, maintenance, and upgrades,
- data management, software, and computing,
- working groups, committees, and their coordination,
- inclusion, diversity, equity, and accountability,
- any other scientific, technical, or managerial matters pertaining to the Collaboration.

The Executive Board must have at least one member for each of the functional areas identified above. The Executive Board membership reflects the composition of the Collaboration membership; at least three members are from the Collaboration at large, and at least one member is within five career years of obtaining his/her Ph.D. (not counting career interruptions). The Executive Board may advise the Spokesperson on any collaboration matter. The Spokesperson or designated Representative reports on the activities of the Executive Board during general meetings of the Collaboration and of the Institutional Board.

Details of Executive Board appointments, functions, and duties are outlined in the Collaboration Operational Policy.

5. Collaboration Conduct Statement

The fulfillment of the mission of the Collaboration depends on collegial and respectful interactions among all of the people engaged in its daily life and special events. To establish and maintain a welcoming, inclusive environment, every member of the Collaboration agrees to:

- Uphold the highest standards of professional ethics;
- Communicate respectfully: avoid insulting, dismissive, or hateful remarks and actions;
- Respond to observed cases of inappropriate behavior so as to promote a shared understanding of our accountability for our actions and for the effects they may have.

The Collaboration affirms its commitment to equal opportunity and fair treatment of all of the members of its community. We are expected to conduct ourselves in a manner that is welcoming to all and free from any form of discrimination or harassment. We agree to treat each other with the respect and consideration necessary for creating the collegial, inclusive environment that is essential for achieving our collective goals and fulfilling our profession's expectations.

Collaboration members must avoid any inappropriate actions or statements based on individual characteristics such as race, color, religion, national origin, disability, veteran status, sexual orientation, gender identity, gender expression, sex, genetic information, or age. Collaboration members must also avoid any inappropriate actions or statements based on individual or group characteristics such as rank, marital status, nationality, political affiliation, ability status, or educational background. Disruptive, harassing, or unwanted behavior of any kind is not tolerated. These behaviors include, but are not limited to, inappropriate or intimidating actions, gestures and language, unwelcome jokes or inappropriate comments, unwanted touching or attention, offensive images, and other nuisance behaviors.

All persons representing the Collaboration at external events are expected to uphold these principles as well. A person is representing the Collaboration if there is a reasonable expectation that event participants or observers would identify him/her as being affiliated with the Collaboration.

All members of the Collaboration are accountable for their actions. It is crucial that all of us work together to respond to actions that undermine a positive environment for all professional activities. Violations of this Charter's Code of Conduct should be reported to the Spokesperson and/or the Chair of the Institutional Board. When a potential violation is reported, the reporting party can expect to be taken seriously and to be informed of actions taken in response to the complaint, consistent with legal limits on the sharing of information about individuals. Review of the reported incidents must come in an expedient manner, and the responses may range from verbal communication or warning to notification of appropriate authorities of the offending party's Institutions and restrictions on participation in Collaboration activities. Retaliation for good faith reporting and retaliation for investigation of incidents are also a violation of this Charter's Code of Conduct.