

Advanced Photon Source

User Policy and Procedure

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BES Light Source Partnership Model

Effective date:

- This policy will take effect when the APS restarts operations after the shutdown for installation of the APS-U multi-bend achromat lattice.

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- Original version

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BES Light Source Partnership Model

1. INTRODUCTION

1.1. Purpose

This policy presents the changes to the partnership framework for Collaborative Access Teams (CATs). When the APS restarts operations after the shutdown for installation of the APS-U multi-bend achromat lattice, these policies will supersede any existing User Policies and Procedures. APS Policies not explicitly listed here remain unchanged from existing APS User Policies and Procedures.

1.2. Scope

This policy sets forth the rules under which Collaborative Access Teams (CATs) must comply as Partners at the Advanced Photon Source. CATs are defined as entities that receive funding for the operation of a sector/beamline from a source other than the APS operations budget (although the CAT staff may be APS employees).

2. PARTNERSHIPS AT BES LIGHT SOURCES

Partnerships* with non-BES funded teams - Collaborative Access Teams (CATs), Participating Research Teams (PRTs), Partner BLs - to construct and operate beamlines are an important component for the BES supported light sources. This document summarizes a set of updated Partnership Models that will go into effect at the various facilities at mutually agreed upon dates between BES/SUF program managers and facility Directors to have a more standardized set of guidelines/expectations for partner-operated beamlines.

Partnerships to construct and operate beamlines at the light sources fall into 1 or more of the 3 categories below:

- A. Those partnerships funded by an individual institution or a consortium of institutions to support their membership's research programs and/or funded by a government agency to support scientific communities, including those operating as National User Facilities (NUFs)

* The partnerships described in this document are long-term agreements that are typically for the construction and operations of all or a part of a beamline. Each of the light sources also have limited-term partnerships (Partner User proposals, Project proposals, Approved Programs, etc.). This document does not cover limited-term partnerships.

- B. National Security-driven partnerships
- C. Industry partnerships

3. STANDARDIZED GUIDELINES FOR PARTNERS OPERATING BEAMLINES AT BES-SUPPORTED LIGHT SOURCES

The following high-level guidelines summarize expectations regarding beamlines operated by partners. Details for each of the guidelines follows.

1. The standard expectation is that at least 50% of the time on each beamline will be made available to General Users (GUs). Light source management may make exceptions to this guideline for specific cases with the approval of their Scientific Advisory Committee.
2. Members from within the partnership may compete for the GU time on their beamline(s) through the facility GU program.
3. Partners must meet staffing and investment levels to maintain the beamline(s) and modernize them regularly to support a scientifically competitive GU program on the beamline(s). On-site partner employees must meet the requirements to obtain access to the host facility.
4. Partnership tenure can be renewed contingent on a successful tenure review. Tenure reviews of the partnership will be performed/organized by the light source management. The review cycle will be determined by the needs of the facility, but be at least once every 5 years. Should the review results find the operation of the partnership (including productivity) to be less than satisfactory, the partnership will be re-reviewed within 1 to 2 years of the initial review (exact time determined by the facility SAC) to assess the progress of the corrective actions from the review. If the re-review finds that inadequate progress has been made, the partnership will be given notice that the partnership will terminate within the next year.

The facility will monitor relevant performance metrics of the beamlines on an annual basis and reserve the right to call additional reviews if necessary and/or seek recommendations from relevant SAC.

5. Proprietary GU proposals performed on partner-operated beamlines will be charged the standard facility proprietary beamtime rate, to be paid to the facility, with no surcharges added by the partner.

4. APS-SPECIFIC PARTNERSHIP GUIDELINES

4.1. APS Guideline 1: General User Time on Partner-operated Beamlines

After the restart of the upgraded APS, at least 50% of the time on each beamline will be made available to General Users (GUs). This reduction of the percentage of membership beamtime can be recovered for Category A partnerships as the partner members can now apply for time through the facility-managed GU program. For industry-based and national security-based partnerships, alternative guidelines given below may be followed.

National Security-driven Partnerships

- General User time will be negotiated as part of the initial agreement between the facility and the partner at the implementation of this partnership policy and will be dependent on specific national security program requirements and expected demand from the General User community. The proposed set aside of General User time will be reviewed and approved by an ad hoc committee established by the facility seeking concurrence from the facility's Scientific Advisory Committee (SAC). General User time will be re-evaluated at the Partner's tenure review.
- The partner will pay for their office and lab space charges when less than 50% of the beamtime is made available to the GU program.
- Must meet staffing and investment levels (see Guideline #3).
- Tenure reviews (see Guideline #4), using prespecified program-specific review criteria for partnerships that fall under this category.

Industry Partnerships

- These are partnerships where the industrial partner(s) are funding the full operating cost of the sector/beamline operation.
- General User time will be negotiated as part of the initial agreement between the facility and the partner at the implementation of this partnership policy and will be dependent on the specific program proposed by the partner and expected demand from the General User community. The proposed set aside of General User time will be reviewed and approved by an ad hoc committee established by the facility with the concurrence of the facility's Scientific Advisory Committee (SAC). General User time will be re-evaluated at the Partner's tenure review.
- The partner will pay for their office and lab space charges when less than 50% of the beamtime is made available to the GU program.
- Must meet staffing and investment levels (see Guideline #3).
- Tenure reviews (see Guidelines #4), using prespecified program-specific review criteria for partnerships that fall under this category.

4.2. APS Guideline 2: Space Charges

The facility will pay for space charges - if applicable at the host facility and pending funding availability from BES provided operations budget - for Partner's labs and offices for those Partners that are providing at least 50% of their beamtime to GUs. For those partnerships where agreements have been made with facility management to provide less than 50% for GUs, the partner will pay for all space charges.

4.3. APS Guideline 3: Beamline Staffing and Investment

The goal of this guideline is to ensure that the staffing and investment into the beamline(s) is at an adequate level to effectively utilize the beamtime and support a scientifically competitive GU program.

Effort costs for beamline staff will be borne by the Partner. The expectation of staffing is at least 2 staff (FTEs) per beamline. However, support level will be benchmarked against similar beamlines at the host facility, if possible. Partners can make the case that 2 FTEs per beamline is not necessary by taking into account the nature of the experiments and end-stations in question. This will be explicitly evaluated in tenure reviews. The employer of the beamline staff may either be the partnership or facility. Staffing levels should be estimated in the Partner's management plan or other relevant document required by the host facility.

Partner investment into the beamlines will be sufficient to modernize the beamlines regularly to support a scientifically competitive GU program on the beamline(s). This metric will be explicitly evaluated in the tenure reviews. Fractional partnerships shall be scaled using these numbers as a basis. For new beamlines, depreciation will only take effect 5 years after construction, i.e., no additional investment would be required initially unless it is found that the new beamline is lacking vital components to become fully operational.

4.4. APS Guideline 4: Tenure Reviews

An updated scientific scope of work, expected to be performed at the sector/beamline(s) for the next appraisal period, must be submitted for each review. For our recordkeeping, this document will be used as the Partner's proposal when members request Partner time on the beamline.

5. FEEDBACK AND IMPROVEMENT

If you are using this procedure and have comments or suggested improvements for it, please go to the [APS Policies and Procedures Comment Form](#) * to submit your input to a

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Procedure Administrator. If you are reviewing this procedure in workflow, your input must be entered in the comment box when you approve or reject the procedure.

Instructions for execution-time modifications to a policy/procedure can be found in the following document: Field Modification of APS Policy/Procedure ([APS_1408152](#)).

* <https://www.aps.anl.gov/Document-Central/APS-Policies-and-Procedures-Comment-Form>