

Status of Partnership Model for APS



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Background

- In 2017 BES program managers announced that when APS came out of the darktime, their expectation was that all existing CATs would adhere to new guidelines for Partnerships.
 - 50/50 split of beamtime between GU program and CAT members
 - a prescribed number of staff and yearly investment per beamline
 - 3-yr cycle for tenure reviews
- In 2020 new program managers for BES/SUF announced and along with that came a less rigid approach to the guidelines (will share those in a minute).
- Worked on editing the original guidelines that were APS-specific. In April 2022 BES requested we work with other BES light sources to come up with guidelines that all BES light sources could live with.
- All light sources agreed on the current guidelines and that was sent to BES Jan 2023.
- BES managers asked if the neutron scattering facilities had seen these guidelines. Sent to Ken Anderson (SNS/ORNL) for his feedback.

Current Standardized Guidelines for Partnership Model

The following high-level guidelines summarize expectations regarding beamlines operated by partners at all the BES light source facilities. Details for each of the guidelines follows as it will be applied at the APS.

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.**
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.**

Facility-Specific Rules

Each facility can develop facility-specific rules as long as the standardized guidelines are followed.

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 may be followed.

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.

Facility-Specific Rules (continued)

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. For new beamlines, no additional investment would be required initially unless it is found that the new beamline is lacking vital components to become fully operational.

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.

Proposed Partnership Documents

BES Standard User Agreement

Signed by the individual institutions that make up the CAT

Remains the same

Memorandum of Understanding (MOU)

Agreement between the CAT and APS

Has references to APS Policy and Procedures and the CAT Management Plan

May require an addendum for existing CATs – case by case basis



Updated APS Policies & Procedures

Incorporates updated Policies and Procedures for new Partnership Models



Updated CAT Management Plan

Approved by APS before CAT BL(s) comes back online after dark time

- CAT scientific scope
- CAT operations plan
 - GU access plan
 - member access process

CAT MANAGEMENT PLANS REQUIRED UPDATES

Initial CAT Management Plan Contents

I. Introduction

II. CAT Organization

III. Scientific Scope

~~IV. Construction WBS~~

~~V. QA and QC~~

~~VI. Procurements and Fabrication~~

~~VII. Funding~~

~~VIII. Cost, Schedule, and Performance~~

~~Control~~

IX. Safety

X. Communications

~~XI. Commissioning~~

XII. Operational Plan

Introduction

- Update the mission, technical scope, and user community of the CAT
- Update the member institutions

CAT Organization

- Update org chart including:
 - Key positions and names of the individuals holding these positions
 - External advisory committees or oversight boards
 - Estimate of total staff required to operate
- The role each institution is expected to play (if different from one another)

Scientific Scope

- Update the overall scientific scope/activities of the CAT
 - Should be 4-6 pages at a pretty high level
- This section must be updated by the CAT before each BL tenure review and will be reviewed/approved at the tenure review by the BL review committee
- **This section will be used as the CAT's proposal, against which CAT time will be charged and referenced in the ESAF**

Safety

- Update key safety positions and names of the individuals holding these positions
- Update any special safety concerns related to expected CAT activities

Operational Plan

- Update description of how member time is allocated by the CAT
- **Update the CAT's commitment to provide at least 50% of the available time to the General User program or**
- **If you are giving less than 50% of the available time to the General User program, provide the reason(s) why and any arrangements made with APS in lieu of the 50% General User requirement (Requests of this type will be reviewed and approved by the APS SAC)**

QUESTIONS