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User Policies and Procedures

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Development of New Beamline or Significant New Capability/Instrument on an APS-Operated Beamline

Changes made in this revision:

- New procedure.

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Development of New Beamline or Significant New Capability/Instrument on an APS-Operated Beamline

POLICY

1 OVERVIEW

This policy governs the development of a new beamline or a significant new capability/instrument (i.e., one whose construction requires more than 30% of the beam time over three years on an existing beamline) by an externally funded group.

2 APPLICABILITY

- This policy takes effect when a project requires more than 30% of the beam time over three years on an existing beamline.
- Externally funded partnerships of limited scope (up to 30% of beam time for up to three years) are governed by the policy on Partner User Beam Time ([Procedure # 3.1.47](#)), Section 3.3/Partner User Access policy.

3 POLICY STATEMENT

When a new beamline or significant new capability is developed with external funds, one of two partnership mechanisms is used: a Collaborative Development Team (CDT) or a Collaborative Access Team (CAT). These teams differ in their provision for long-term operations:

- A CDT obtains funds for construction and initial operations and receives guaranteed access to the new capability for an agreed-upon period. At the end of that period, APS assumes responsibility for funding and operations.
- A CAT funds and manages both construction and continuing operations, retaining up to 75% of beam time for the use of its members.

The project group submits a letter of intent (LOI), which is initially reviewed by external peers and the APS Scientific Advisory Committee (SAC). The subsequent review and approval process may depend on the extent of the partnership proposed, as determined by the SAC. If the letter of intent is accepted, a full proposal, conceptual design report (CDR), and management plan are required, and further external review may be sought. Final acceptance of the project rests with the APS. The parameters for proposing a CAT or CDT are given in “APS Beamline Proposal Guide” ([APS 1427520](#)).

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4 ASSISTANCE

The initial point of contact for questions about this policy is the APS User Program Manager, 630-252-9090, apsuser@aps.anl.gov.

5 RELATED POLICIES

- Parent policy: User Access and Administration Framework ([Procedure # 3.1.101](#))
- Beam Time Access Framework ([Procedure # 3.1.115](#))
- Partner User Beam Time ([Procedure # 3.1.47](#))
- “APS Beamline Proposal Guide” ([APS_1427520](#))

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PROCEDURE

1 INTRODUCTION

1.1 Purpose

This document establishes the procedure by which an externally funded group gains approval to develop a new beamline or a significant new capability or instrument.

1.2 Scope

- This procedure extends only to the point at which APS agrees to the overall plan for constructing and operating the beamline or new capability.
- The procedure does not cover construction or operation.

1.3 Applicability

This policy takes effect for projects requiring a dedicated port or branch line or more than 30% of the beam time on an existing beamline (i.e., the project is too large in scope to be accommodated by the Partner User Program).

2 PROCEDURE

Project group:

- [1] At least two months before the October or March Scientific Advisory Committee (SAC) meeting, submit a letter of intent (LOI) describing the proposed partnership and project to the APS User Office at loi@aps.anl.gov. See [Appendix A, Required Contents of Letter of Intent for New Beamline or Capability](#).

APS Director:

- [2] Select external peer reviewers and communicate selection to User Office.

User Office:

- [3] Send LOI to external peer reviewers and collect comments.

User Office:

- [4] Provide LOI and review comments to the SAC.

Scientific Advisory Committee:

- [5] Do one of the following:
- Recommend the project described in LOI be rejected.
 - Request the project be reviewed further and presented again to the SAC.
 - Endorse the scientific case and refer project to the APS Director for decision.

APS Director:

- [6] Decide whether project will be considered further. If so, invite a full proposal and review according to the process specified in “APS Beamline Proposal Guide” ([APS 1427520](#)).

Scientific Advisory Committee:

- [7] If further review by SAC was requested in Step [5], then make recommendation for approval or rejection.

APS Director:

- [8] Approve or reject the project.

3 DOCUMENTS/RECORDS CREATED BY THIS PROCEDURE

The documents/records listed below will be created in the execution of this procedure and must be retained as indicated.

Document/Record	Custodian	Storage Location and Medium	Retention Period
Letter of intent	User Program Manager	ICMS	
LOI review comments (peer review and SAC)	User Program Manager	ICMS	
Full proposal	User Program Manager	ICMS	
Conceptual design report (if requested)	User Technical Interface	ICMS	
CAT/CDT management plan (if requested)	User Program Manager	ICMS	
Full proposal review comments (peer review and SAC)	User Program Manager	ICMS	

4 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 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](#)).

* http://centraldocs.aps.anl.gov/comment_form.php

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APPENDIX A: Required Contents of Letter of Intent for New Beamline or Capability

Letters of intent (LOIs) to develop new beamlines or capabilities must contain, at a minimum, the items listed below:

- Title of the proposed partnership.
- Name and contact information (name, title, affiliation, address, telephone and fax numbers, and e-mail address) for the Principal Investigator/CAT Director.
- Names and affiliations of additional major partners, accompanied by brief descriptions of their relevant scientific and technical experience.
- Scientific impact/justification for the proposed partnership (approximately 5 pages). This section should form the major thrust of the LOI. Clearly describe how the scientific community and the APS will benefit. Also describe the relationship to existing facilities at the APS and the amplification and or enhancement of these facilities.
- Description of partnership arrangement. Describe the proposed instrument, capability, research program, or contribution to the APS. Indicate and justify which sector or beamline will be involved, as well as the amount of time required on the sector/beamline. Clearly outline the contributions to be made by the proposers and the expectations for APS contributions. Indicate which team members will carry out each program element. Include supporting letters for contributions from proposed partners. (Note: If an APS staff member is one of the partners, a supporting letter from that partner's Division Director is required.)
- Preliminary budget and proposed source(s) of funding for capital items, fabrication, assembly, and operations. Assess the likelihood of obtaining the funds. (For limited-scope partnership proposals, it is assumed that funds are committed or available.)

The total length of these documents must not exceed 10 pages.