

Procedures for Obtaining Membership in After SDSS-2

12/26/07

This document outlines ground rules for institutional membership in the After SDSS-2 (AS2) surveys. These rules are proposed by the AS2 Steering Committee for the approval of the ARC Board of Governors and are incorporated into the AS2 Principles of Operation. After the initial AS2 collaboration has formed, the Steering Committee will transfer authority to the Advisory Council (AC), a body with representation from the institutional partners. At that point the Advisory Council may opt to modify these rules (again with the approval of the ARC Board of Governors). The scenarios and budgets described in this document are preliminary and subject to modification.

AS2 is planned as a six-year survey, with observations beginning in July 2008, and ending in June 2014. An additional year of support for data processing and archiving will be required. AS2 is comprised of four individual surveys: SEGUE-II, MARVELS, APOGEE, and BOSS. Participation in AS2 includes the entirety of the project, as opposed to selections of individual surveys. Hence, membership in AS2 provides institutions with access to all of the data, even if particular institutions or individuals confine their efforts to a limited subset of the surveys.

Membership in AS2

Membership in AS2 is open to individual institutions; other collaborative buy-in arrangements will be considered on a case-by-case basis if there are compelling and mutually beneficial reasons to do so. An example of an alternative buy-in arrangement is described in the following section (“Participation Groups”). Membership in AS2 is recommended by the Steering Committee (and ultimately by the Advisory Council) to the ARC Board of Governors. One criterion for membership is a tangible contribution to the construction or operating needs of the AS2, as described below.

Full Institutional Membership includes data rights for an unlimited number of participants from the institution. Full Membership requires a total contribution of \$900k. (However, this could be adjusted depending on the number of partners recruited and the success of other fund-raising efforts.) In most cases this membership fee will be paid in annual installments over the lifetime of the project, with details spelled out in the Memorandum of Understanding (MOU) between ARC and the institution. All partners are encouraged to join as Full members.

To accommodate institutions that cannot commit to a Full membership, Associate Institutional Membership includes data rights for a specified number of Participants, where the cost-per-Participant is set to one-fifth of the cost of a Full membership, i.e. \$180k. These Participants would be named, as opposed to pooled. Participants are understood to be long-term scientific staff, e.g. faculty (tenured and non-tenured), research-track scientists, and equivalent. Participation rights can be moved from one researcher to another with the consent of the Director; the Director (and AC if necessary) has the authority to limit over-use of this flexibility. Each Participant is allowed to share data-access rights with one postdoctoral fellow. Graduate students, undergraduate students, and individuals within two years of their first bachelor degree (e.g., individuals working for a year

before going to graduate school) are limited to those working directly with one of the Participants. Postdocs and other professionals who are supported by AS2, or whose work is counted as an in-kind contribution, will also have data-access and other participatory privileges so long as they are spending the majority of their time on an activity acknowledged by AS2 to be of general service to the project. A minimum of three Participants is required to have a vote on the AC, to have a representative on the collaboration Council (CoCo), and to be listed as a member on official boilerplate. However, an institution may join with one or two participants.

Participation Groups

The AS2 will consider membership in the survey from "Participation Groups" (PGs), which are collections of active scientists distributed across three or more distinct institutes, departments and/or universities from the same country. The PG should arrange for a central office that is responsible for signing the Memorandum of Understanding, that will appoint the representative(s) to the Advisory Council, that will handle the cash payments, that will ensure that the PoO are followed, and that will provide a point of contact in all other matters concerning the collaboration of the AS2. PGs will be treated similarly to Associate Institutional Members as described above. However, recognizing that PGs could be larger than both Associate and Full Institutional Members, and to encourage membership of PGs in AS2, the following incentives will be provided. First, data rights will be provided for one additional Participant for every 5 paid Participants in the PG (we count as extra any additional postdocs beyond the one postdoc allowed per paid Participant). Second, the PG will receive one vote on the Advisory Council and CoCo for every 5 paid Participants, i.e. one vote for 5 paid Participants, 2 votes for 10 paid Participants, etc. This scheme therefore rewards larger PGs but also reflects the importance of having single institutional partners. PGs are subject to the same rules as Associate Institutional partners: in particular, membership is based on a list of named Participants (including postdocs) that can only be transferred with the consent of the Director. Participants can work with an unlimited number of students, again as defined for Associate Institutional partners. The payment schedule is the same as for other institutional members, as described below.

Contributions to AS2

Contributions can be cash or in-kind, and measured in US dollars. Only direct costs will be counted as in-kind contributions (i.e. including fringe benefits but excluding institutional overheads). All in-kind contributions need to specifically address items in the Director's budget and must be approved by the Management Committee (MC) and the AC. Again, all such details will be elaborated in the institutional MOU with ARC. Hardware and software developed previously for SDSS, SDSS-II, and the ET Pilot Program would generally not be counted as an in-kind contribution for AS2.

AS2 will have six annual payment periods, starting in January 2008, and ending in January 2013. Frontloaded payments in excess of the nominal profile will receive a small (3% per year) adjustment for anticipated inflation as a means to encourage earlier contributions. Additional encouragement may be granted by the SC and AC to provide a bonus of up to 10% if offered funds

in 2007 and 2008 that are required to meet the AS2 cost profile. For example, if one paid the entire cost in 2007, this benefit (10% plus 3% inflation adjustment) would be about 81 cents on the dollar.

It is anticipated that payments will be required no later than the first quarter of each calendar year of the survey, beginning in 2008. It is understood that 2008 contributions carry some risk, as they will likely be due before full funding is assured.

It is recognized that there may be cases in which institutions cannot commit (or fulfill) their full contribution for the survey period. Such institutions will forfeit their rights to data taken after the default of payment, although specific situations will be dealt with as they arise by the Director, the MC and the AC.

It is anticipated that some data processing, archiving and release costs will be incurred in 2015. The AS2 project will strive to handle institutional contributions towards these expenses by careful forward budgeting, rather than by additional requests for funding.

The AS2 project intends to negotiate a waiver of overhead rates with MOU partners as part of work packages. SDSS, SDSS-II, and the 3.5-m telescope were projects undertaken by ARC that set an example whereby in general ARC member institutions and MOU partners waived recovery of indirect costs on work conducted at the respective institutions. This policy (of having institutions where work is done carrying the burden of the IDC costs) was a significant indicator of commitment to the funding agencies for SDSS and SDSS-II, and we can expect the same to be true for AS2.

Governance in AS2

Full and Associate Institutional Members with at least three Participants have equal representation and voting rights on the AC and CoCo (i.e., one vote per institution) and will be listed as institutional partners on official project boilerplate.