

Advanced Photon Source

User Policies and Procedures

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User Access Framework

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- Addition of policy and preparers
- Removed pager numbers for User Safety Officer and Associate User Safety Officer in Section 4 of Policy
- Edits throughout

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User Access Framework

POLICY

1 PURPOSE

This policy presents the overall framework governing user access to the APS.

2 SCOPE

This policy defines the options available to researchers for accessing beamline facilities at the APS and basic requirements for access. This is a high-level framework that provides links to the detailed access procedures and requirements.

3 POLICY

Use of beam time at the APS is governed by policies in four areas:

- Scientific activity
- Legal and financial
- Site access
- Safety and training

3.1 Scientific Activity

3.1.1 Creation of new capabilities

Externally-funded user groups may present proposals for the creation of new capabilities through two mechanisms:

- Partnership of limited scope (see Partner User Beam Time, [Procedure # 3.1.47](#) – APS_1426696)
- Partnership of more extensive scope, namely, a Collaborative Access Team (CAT) or Collaborative Development Team (see Development of a New Beamline or Significant New Capability/Instrument, [Procedure # 3.1.42](#) – APS_1426489).

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3.1.2 Beam time access modes

The APS makes beam time available to the international scientific community in the following access modes:

- General User
- Partner User¹
- CAT/CDT staff/member
- APS staff
- Industrial Measurement Access Mode (MAM)
- Director's discretionary time.

All beam time access is managed through the APS Web-based Beam Time Access System, with scientific review occurring at different levels depending on the access mode. See Beam Time Access ([Procedure # 3.1.115](#) – APS_1299521).

3.1.3 Publication of results

- When work performed at the APS by a user is submitted for publication, the author must include appropriate acknowledgment of the APS and the beamline in the manuscript.
- Users are expected to notify the host beamline and the APS of publications resulting from work conducted here. See Reporting Publications to the APS ([Procedure # 3.1.44](#) – APS_1426538).

3.1.4 Evaluation of results not published in the open literature

For results not published in the open literature (e.g., for proprietary, classified) users are required to justify the value of the research in a written statement upon request from the APS management. See Evaluation of Unpublished Research ([Procedure # 3.1.45](#) – APS_1426363).

3.1.5 Evaluation of research effectiveness

The APS and its Scientific Advisory Committee (SAC) periodically assess the overall effectiveness of beam time usage. Beamline Review Panels, evaluate the scientific and administrative performance, current capabilities, and future directions of each beamline at least once every five years. The panels consist of external scientific peers and function under the auspices of the APS SAC. The publication record (deposited in the APS Publication Database) resulting from APS beam time will be a significant factor in the evaluation of nonproprietary experiments (Reporting Publications to the APS, [Procedure # 3.1.44](#) – APS_1426538). Research not intended for publication will be evaluated on submitted statements of impact (see Evaluation of Unpublished Research, [Procedure # 3.1.45](#) – APS_1426363).

¹ In the context of U.S. Department of Energy reporting, the term “partner user” encompasses both partnerships of limited scope (called Partner Users at APS) and partnerships of more extensive scope (CATs/CDTs).

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3.2 Legal/Financial Framework

3.2.1 Legal agreements

Except for Argonne employees, each participant in an experiment must be covered by a legal agreement between the participant's home institution and the contractor for Argonne National Laboratory, UChicago Argonne LLC. For this purpose, "participant in an experiment" means a user who works on site, or operates an experiment remotely. The user agreement covers liability, intellectual property, and financial issues. Each user is required to sign an acknowledgment that a signed agreement is in place with their institution. See [User Agreements \(Procedure # 3.1.41 – APS_1414785\)](#).

3.2.2 Costs and user accounts

Beam time at the APS falls into two categories: proprietary and nonproprietary. See [Identification of Proprietary Beam Time \(Procedure # 3.1.02 – APS_1001655\)](#). In general:

Nonproprietary: the results of the experiments are expected to become part of the public domain (typically this means the results are expected to be published). There is no charge for nonproprietary beam time.

Proprietary: researchers keep the intellectual property rights and do not expect the results to become part of the public domain (typically this means that the results are not expected to be published). The APS charges users for proprietary beam time.

Researchers who purchase supplies or services from Argonne/APS and/or cover the costs of proprietary beam time establish accounts (user accounts) to cover these costs. See [Establishing and Maintaining Nonproprietary APS User Accounts \(Procedure # 3.1.23 – APS_1186766\)](#) and [Establishing and Maintaining Proprietary APS User Accounts \(Procedure # 3.1.24 – APS_1186767\)](#).

3.3 Site Access

Users and visitors must follow DOE requirements to visit the Argonne site or to remotely run experiments at the APS through accessing the APS computer network. See [Site Access by Users and Visitors \(Procedure # 3.1.43 – APS_1426672\)](#).

3.4 Safety and Training

Users must follow APS/Argonne/DOE requirements for safety and training. A user may not begin hands-on work until these requirements are met. See:

- [APS User Training Policies and Procedures \(Procedure # 3.1.103 – APS_1258434\)](#),
- [APS Experiment Safety Reviews \(Procedure # 3.1.25 – APS-1187022\)](#), and
- Hazard-specific policies in the Experiment Safety section of the Safety and Training home page (http://www.aps.anl.gov/Safety_and_Training).

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4 ASSISTANCE

The initial point of contact for questions about this policy is the APS User Program Manager.

Contact information for the User support is available through the APS web pages.

PROCEDURE

1 INTRODUCTION

1.1 Purpose

This procedure provides the general framework and sequence of required steps for access to APS beam time.

1.2 Scope

- This procedure covers actions from registration through feedback and reporting results after beam time.
- This procedure does not address the details of beamline installation or operation, nor the conduct of experiments themselves.
- This procedure also includes the less frequent action of creating a new beamline or capability.

2 BACKGROUND

Scientifically, gaining access to the APS requires a well-prepared, well-justified proposal. For new users, development of a first proposal requires discussions with local staff or other experienced users to establish (1) the feasibility of the proposed work and (2) an efficient experimental plan.

Administratively, two numbers are key to navigating the APS on-line systems: the user **badge number** and the **proposal number**. Once a badge number is assigned to an individual, s/he keeps that number forever. The badge number is used both for authorizing site access and for associating an individual with specific experimental activity. The proposal number is key to scientific review, safety review, scheduling, and evaluation.

3 PREPARATION OR PREREQUISITE ACTIONS

The following advance actions can help prevent delays in accessing Argonne's site and approval to work.

- [1] Before submitting a proposal, consult with local staff or other expert users. See the APS beamline directory, <http://www.aps.anl.gov/Beamlines/Directory/>.

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- [2] All users should log into the My APS Portal User Portal prior to arrival to ensure that they have completed the necessary training, safety, and administrative requirements before coming to Argonne.
- [3] For users conducting proprietary work or that may incur cost of procuring materials or services from Argonne/APS, consult with the User Account Specialist regarding establishing an account (useracct@aps.anl.gov.).
- [4] For work involving hazardous materials, consult the User Safety web pages. Questions can be directed to the User Safety Officer (contact information on the User Safety web pages).

4 PROCEDURE

The sequence in which these steps are performed may vary. However, registration is required for requesting beam time; a valid user agreement is required before a user may participate in an experiment; and safety approval and completion of training is required before an experiment can start.

| Step | Person(s) | Action | reference |
|------|--------------------------------|---|---|
| 1 | Members of the experiment team | Identify potential beamlines for the experiment, contacting beamline personnel as needed to determine the suitability of a particular beamline. | http://www.aps.anl.gov/Beamlines/Directory/ |
| 2 | Members of the experiment team | <ul style="list-style-type: none"> a) Register as an APS User and receive a badge number (anyone who will travel to APS, operate the experiment remotely, or mail in samples, or need to create/view requests online will need to register) b) Complete the Web-based training indicated in the email confirming registration. c) Upon receiving site access approval notification from the User Office and before traveling to the APS, users should check their User Portal to ensure all administrative, safety, and training requirements have been met and they have approval for site access | |

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| Step | Person(s) | Action | reference |
|------|---|--|------------------------|
| 3 | Spokesperson | Via the APS User Portal, submit a proposal using the APS Beam Time Access System (BTAS) (Through BTAS the experiment will be described, the experiment requirements will be identified and the access mode will be identified) | 10, 11, 12, 13, 14, 15 |
| 4 | Members of the experiment team | If needed , establish user account(s) | 2, 3 |
| 5 | Spokesperson | Complete an Experiment Safety Assessment Form (ESAF) no later than seven days before the visit.* *For typical low risk experiments the ESAF should be submitted no later than seven days before the experiment is planned to start. Some specific hazards require longer to receive review and approval and the Spokesperson should plan accordingly. | 4 |
| 6 | APS Experiment Safety Review Team and Beamline ESAF Approver | Review ESAF. If the ESAF is not approved do not proceed to the next step. | 4 |
| 7 | Members of the experiment team | Consult with your beamline contact or the APS Safety Officer regarding shipping requirements, if needed. | |
| 8 | Members of the experiment team | Before traveling to APS, users should check their user portal to ensure all administrative, safety, and training requirements have been met and that they have approval for site access | 16 |
| 9 | Members of the experiment team | If a user does not have a current Argonne site access badge, obtain a badge with the required identity documents | 7 |
| 10 | Members of the experiment team | Complete all required orientations and safety training (e.g., sector orientation). | 16 |
| 11 | Members of the experiment team | Execute the experiment | |
| 12 | A members of the experiment team | Complete an End of Experiment Form (EEF) at the conclusion of beam time. | |
| 13 | Members of the experiment team | At the end of your experiment, if you are certain you will not return to APS, return your badge to either the User Office or the Argonne Visitor Center. | |

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| Step | Person(s) | Action | reference |
|------|--------------------------------|---|---|
| 14 | Members of the experiment team | Acknowledge APS and the beamline on all publications. | See http://www.aps.anl.gov/Science/Publications/ for the required wording. |
| 15 | Members of the experiment team | Report accomplishments to APS | 8, 9 |

5 References

The following is the set of policies relating to user access and administration (number in parenthesis is the document number in the APS electronic document system [ICMS]):

1. 3.1.02 Identification of Proprietary Beam Time ([APS_1001655](#))
2. 3.1.23 Establishing and Maintaining Nonproprietary APS User Accounts ([APS_1186766](#))
3. 3.1.24 Establishing and Maintaining Proprietary APS User Accounts ([APS_1186767](#))
4. 3.1.25 APS Experiment Safety Reviews ([APS_1187022](#))
5. 3.1.41 User Agreements ([APS_1414785](#))
6. 3.1.42 Development of a New Beamline or Significant New Capability/Instrument on an APS-Operated Beamline ([APS_1426489](#))
7. 3.1.43 Site Access by Users and Visitors ([APS_1426672](#))
8. 3.1.44 Reporting Publications to the APS ([APS_1426538](#))
9. 3.1.45 Evaluation of Unpublished Research ([APS_1426363](#))
10. 3.1.46 General User Beam Time ([APS_1426695](#))
11. 3.1.47 Partner User Beam Time ([APS_1426696](#))
12. 3.1.48 CAT Member and CAT Staff Beam Time ([APS_1426697](#))
13. 3.1.49 APS Staff Beam Time ([APS_1426698](#))
14. 3.1.50 Director's Discretionary Beam Time ([APS_1426699](#))
15. 3.1.51 Industrial Measurement Beam Time ([APS_1426700](#))
16. 3.1.103 User Training ([APS_1258434](#))
17. 3.1.115 Beam Time Access Framework ([APS_1299521](#))
18. Hazard-specific policies as listed at http://www.aps.anl.gov/Safety_and_Training.

6 DOCUMENTS/RECORDS CREATED BY THIS PROCEDURE

This list is a summary of the principal documents created by execution of this procedure and its related individual procedures as of the time this policy was reviewed. The applicable individual policies should be consulted for the most current information. The documents created will depend on the specific case.

6.1 Documents Pertaining to Experiments

| Description of Document/Record | Custodian | Storage Location and Medium | Applicable Policy |
|---|-------------------------------|-----------------------------|-------------------|
| Letter of intent* | XSD, APS User Program Manager | ICMS | 3.1.42 |
| Proposals and associated beam time requests | XSD, User Office | Beam Time Access System | 3.1.115 |
| Experiment safety assessment forms (ESAFs) | AES, User Safety Officer | ESAF system | 3.1.25 |
| End of experiment forms (EEFs) | XSD, APS User Program Manager | EEF system | 3.1.101 |
| Publication entries | Office of the Director | Publication database | 3.1.44 |

* Only for development of new beamlines or significant new capabilities.

6.2 Documents Pertaining to Users

| Description of Document/Record | Custodian | Storage Location and Medium | Applicable Policy |
|---|---|----------------------------------|-------------------|
| Registration record | XSD, User Office | User Database | 3.1.43 |
| Human Resources record | Argonne Human Resources office | HR database | 3.1.43 |
| Argonne domain account record | Computing and Information Services Division | CIS systems | 3.1.43 |
| Training record | Environment, Safety & Quality Assurance Division | Training Management System (TMS) | 3.1.43 |
| Foreign visits and assignments record (non-U.S. citizens) | Facilities Management and Services Division, Security Group | FAVOR system | 3.1.43 |
| Gate pass | Argonne Information Center | Argonne gate pass system | 3.1.43 |
| User agreement | XSD, User Agreement Specialist | ICMS | 3.1.41 |
| User account | XSD, User Account Specialist | Filemaker database | 3.1.23, 3.1.24 |

7 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://www1.aps.anl.gov/Document-Central/APS-Policies-and-Procedures-Comment-Form>