

# Advanced Photon Source

## User Policies and Procedures

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## User Access and Administration Framework

### Changes made in this revision:

- Revised as an umbrella policy linking topic-specific policies.
- Title changed.

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## User Access and Administration Framework

### POLICY

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#### 1 PURPOSE

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

#### 2 SCOPE

This policy applies to all users of APS beam time, to all types of beam time, and to all visitors to APS.

#### 3 POLICY

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

- Scientific activity
- Legal/financial framework
- 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](#))
- 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](#)).

### 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 User<sup>1</sup>
- CAT/CDT member
- CAT/CDT staff member
- APS staff
- Industrial measurement
- Director's discretionary time.

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

### 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 \(Procedure # 3.1.44\)](#).

### 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, or certain industrial research), users are required to justify the value of the research in a written statement each fiscal year. See [Evaluation of Unpublished Research \(Procedure # 3.1.45\)](#).

### 3.1.5 Evaluation of research effectiveness

The APS and its Scientific Advisory Committee periodically assess the overall effectiveness of beam time usage. These reviews include assessment of the use of time set aside for rapid access. Assessment of the effectiveness of CAT/CDT allocation processes is provided by Beamline Review Panels/Cross Cut Review Panels, which evaluate the performance of each beamline at least once every five years. The panels consist of external scientific peers and function under the auspices of the APS Scientific Advisory Committee. 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](#)). Research not intended for publication will be evaluated on submitted statements of impact (see [Evaluation of Unpublished Research, Procedure # 3.1.45](#)).

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<sup>1</sup> 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).

### 3.2 Legal/Financial Framework

#### 3.2.1 Legal agreements

Except for Argonne employees, each participant in an experiment must be covered by an agreement between the participant's home institution and the contractor for Argonne National Laboratory, UChicago Argonne LLC ("user agreement"). For this purpose, "participant in an experiment" means a user who works on site, operates an experiment remotely, or mails in samples. 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. See User Agreements ([Procedure # 3.1.41](#)).

#### 3.2.2 Cost accounts

For research that will be published in the open literature, there is no charge for beam time. For proprietary work, an hourly fee is charged to recover facility costs. Users must establish cost accounts to cover purchase of supplies and proprietary beam time charges ("user accounts"). See Identification of Proprietary Beam Time ([Procedure # 3.1.02](#)), Establishing and Maintaining Nonproprietary APS User Accounts ([Procedure # 3.1.23](#)) and Establishing and Maintaining Proprietary APS User Accounts ([Procedure # 3.1.24](#)).

### 3.3 Site Access

Argonne National Laboratory is a controlled-access site operated by the U.S. Department of Energy (DOE), and therefore users and visitors must follow DOE requirements regarding permission to enter the site (especially for users and visitors who are not U.S. citizens). See Site Access by Users and Visitors ([Procedure # 3.1.43](#)).

These requirements apply not only to users coming on site but also to users operating an experiment remotely (because access to Argonne computer networks is required).

### 3.4 Safety and Training

Because Argonne is a DOE laboratory, users must follow DOE requirements for training and for safety practices governing experiments, shipping of samples and equipment, etc. A user may not begin hands-on work until these requirements are met. See APS Experiment Safety Reviews ([Procedure # 3.1.25](#)), APS User Training Policies and Procedures ([Procedure # 3.1.103](#)), and the hazard-specific policies in the Experiment Safety section of the Safety and Training home page ([http://www.aps.anl.gov/Safety\\_and\\_Training](http://www.aps.anl.gov/Safety_and_Training)).

## 4 ASSISTANCE

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

At the time this policy was reviewed, the following contact information was current:

- **Beamline staff:** Consult the APS beamline directory, <http://www.aps.anl.gov/Beamlines/>.
- **User Office:** 630-252-9090, [apsuser@aps.anl.gov](mailto:apsuser@aps.anl.gov).
- **User Account Specialist:** Deana Kinzler, 630-252-1244, [useracct@aps.anl.gov](mailto:useracct@aps.anl.gov).
- **User Agreement Specialist:** Anne Owens, 630-252-7833, [userforms@aps.anl.gov](mailto:userforms@aps.anl.gov).
- **User Safety Officer:** Bruce Glagola, 630-252-9797, onsite pager 4-9797, [glagola@aps.anl.gov](mailto:glagola@aps.anl.gov).
- **Associate User Safety Officer, Biosafety Officer:** Nena Moonier, 630-252-8504, onsite pager 4-8504, [nmoonier@aps.anl.gov](mailto:nmoonier@aps.anl.gov).

## 5 RELATED POLICIES

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]):

- 3.1.02 Identification of Proprietary Beam Time ([APS 1001655](#))
- 3.1.23 Establishing and Maintaining Nonproprietary APS User Accounts ([APS 1186766](#))
- 3.1.24 Establishing and Maintaining Proprietary APS User Accounts ([APS 1186767](#))
- 3.1.25 APS Experiment Safety Reviews ([APS 1187022](#))
- 3.1.41 User Agreements ([APS 1414785](#))
- 3.1.42 Development of a New Beamline or Significant New Capability/Instrument on an APS-Operated Beamline ([APS 1426489](#))
- 3.1.43 Site Access by Users and Visitors ([APS 1426672](#))
- 3.1.44 Reporting Publications to the APS ([APS 1426538](#))
- 3.1.45 Evaluation of Unpublished Research ([APS 1426363](#))
- 3.1.46 General User Beam Time ([APS 1426695](#))
- 3.1.47 Partner User Beam Time ([APS 1426696](#))
- 3.1.48 CAT Member and CAT Staff Beam Time ([APS 1426697](#))
- 3.1.49 APS Staff Beam Time ([APS 1426698](#))
- 3.1.50 Director's Discretionary Beam Time ([APS 1426699](#))
- 3.1.51 Industrial Measurement Beam Time ([APS 1426700](#))
- 3.1.103 User Training ([APS 1258434](#))
- 3.1.115 Beam Time Access Framework ([APS 1299521](#))
- various Hazard-specific policies as listed at [http://www.aps.anl.gov/Safety and Training](http://www.aps.anl.gov/Safety_and_Training).

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## PROCEDURE

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### 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 up to the point where a specific user group receives authorization to begin work at a specific time on a specific beamline.
- It also covers the reporting tasks required after the beam time is used.
- This procedure does not address beamline installation or operation, nor the conduct of experiments themselves.
- The procedure as stated presents a typical sequence by which access to beam time is obtained. In practice, the sequence may differ depending on the user and the experiment.
- Typically, this procedure pertains to routine access to beam time on established beamlines. Periodically over the life of the facility, however, new capabilities are envisioned; hence, 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, establishing access to beam time involves navigating interactions with the various data systems the APS uses to manage and report on its huge volume of complex user activity. Two numbers are key to these interactions: the user **badge number** and the **proposal number**. Once a badge number is assigned to an individual, he or she 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.

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### 3 ACCEPTANCE CRITERIA

This procedure is complete when user or user group has

- Scheduled beam time
- Signed user agreements for on-site, remote operation, and mail-in users
- User account, if needed
- Valid site access credentials for all on-site and remote users and visitors (gate passes, user badges, noncitizen clearance)
- Completed training
- Completed safety review

### 4 PREPARATION OR PREREQUISITE ACTIONS

The following advance actions can help prevent delays and disappointments once the access procedure begins.

- [1] Before submitting a proposal, consult with local staff or other expert users. See the APS beamline directory, <http://www.aps.anl.gov/Beamlines/>.
- [2] If the team includes members who are not U.S. citizens, consult with the User Office well in advance (630-252-9090, [apsuser@aps.anl.gov](mailto:apsuser@aps.anl.gov)).
- [3] Especially for foreign institutions, consult with User Agreements Specialist to determine whether new user agreements are needed (Anne Owens, 630-252-7833, [userforms@aps.anl.gov](mailto:userforms@aps.anl.gov)).
- [4] For proprietary time, consult with the User Account Specialist regarding costs (Deana Kinzler, 630-252-1244, [useracct@aps.anl.gov](mailto:useracct@aps.anl.gov)).
- [5] For work involving hazardous materials, consult with the User Safety Officer about shipment and handling (Bruce Glagola, 630-252-9797, [glagola@aps.anl.gov](mailto:glagola@aps.anl.gov), or Nena Moonier, 630-252-8504, [nmoonier@aps.anl.gov](mailto:nmoonier@aps.anl.gov)).

## 5 PROCEDURE

The sequence in which these steps are performed may vary considerably, depending on the users and experiment. All must be completed before hands-on work can begin. All steps except Step [9] (safety review) can be started at any time, and the earlier the better. It is recommended to do them parallel. Step [9] (safety review) can be started any time after the completion of Step [4] (request beam time) if time is allocated.

### 5.1 Team Leader Procedure

Depending on how the experimental team functions, the following tasks may be performed by the principal investigator, by the person designated as the proposal spokesperson (person who receives all official correspondence), or by some other team member taking a lead role. The team leader should also consider the items in Section 4, Preparation or Prerequisite Actions.

- [1] Determine the appropriate access mode and associated policy. Use the decision tree in Figure 1.
- [2] Determine whether the beam time will be declared proprietary. See Identification of Proprietary Beam Time ([Procedure # 3.1.02](#)) and Establishing and Maintaining Proprietary APS User Accounts ([Procedure # 3.1.24](#)). This determination affects the request for beam time and the type of financial arrangements made.

***NOTE** Access to the system for requesting beam time is by user badge number. At a minimum, the person who will be listed as the principal investigator must have a badge number. In general, everyone who will need to create or view requests for beam time must be registered.*

- [3] Direct everyone who needs to create/view requests online to register as a user and receive a badge number (well in advance of the proposal deadline): See Section 5.2 of this procedure.
- [4] Request beam time through the APS online Beam Time Access System. See the policy corresponding to the relevant access mode.

***NOTE** Extra time can be required to gain access approval for team members who are not U.S. citizens or who were born or are working in sensitive countries.*

- [5] Direct all active team members (anyone who will travel to APS, operate the experiment remotely, or mail in samples) to register as users as early as possible: See Section 5.2 of this procedure.

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- [6] Verify that all active team members are covered by user agreements with the APS. See User Agreements ([Procedure # 3.1.41](#)).
- [7] Determine whether the experiment will require reimbursable items and services by consulting with beamline staff about experiment needs. If so, set up a nonproprietary user account. See Establishing and Maintaining Nonproprietary APS User Accounts ([Procedure # 3.1.23](#)).
- [8] If the beam time will be declared proprietary, set up a proprietary user account. See Establishing and Maintaining Proprietary APS User Accounts ([Procedure # 3.1.24](#)).

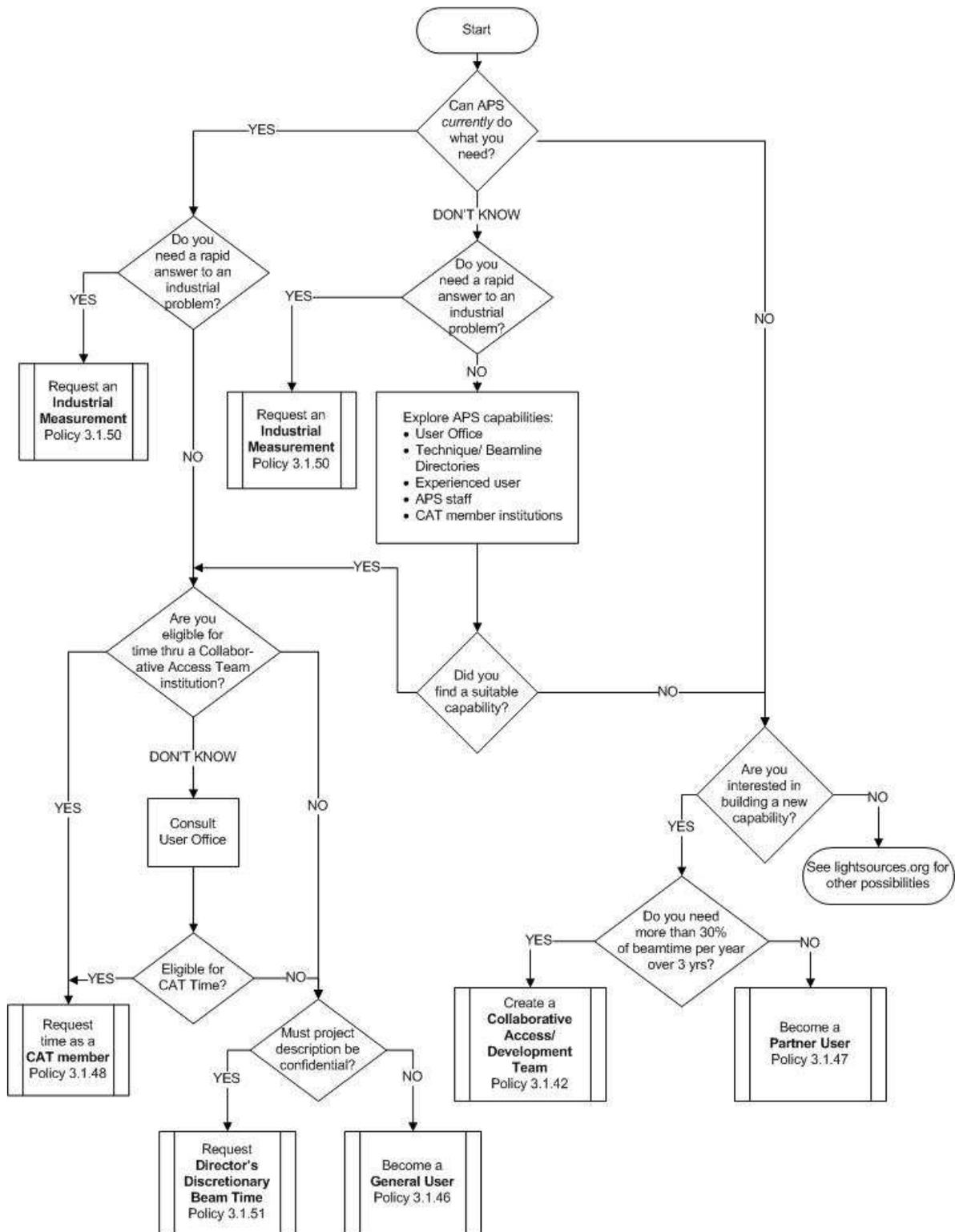
***NOTE** For experiments that present minimal hazards common to all beamlines, the Experiment Safety Assessment Form (Step [9]) should be submitted at least 7 days prior to the scheduled start of the experiment. Additional time is required for higher levels of risk and for safety protocols new to the APS.*

- [9] Complete an Experiment Safety Assessment Form (ESAF) for the visit as early as possible. See APS Experiment Safety Reviews ([Procedure # 3.1.25](#)).
- [10] Consult with your beamline contact or the APS Safety Officer regarding shipping requirements.
- [11] Before traveling to APS, verify with the User Office or your beamline coordinator that each active team member is eligible to do hands-on work:
- Signed user agreement in place
  - Valid site access credentials (gate passes, user badges, noncitizen clearance)
  - Remote training completed
- [12] Shortly after the experiment, complete an end of experiment form when you receive the request from APS.
- [13] In publications, acknowledge APS and the beamline. See <http://www.aps.anl.gov/Science/Publications/> for the required wording.
- [14] Report accomplishments to APS. See Reporting Publications to the APS ([Procedure # 3.1.44](#)) and Evaluation of Unpublished Research ([Procedure # 3.1.45](#))

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**Figure 1.** Decision tree to determine appropriate access mode.

## 5.2 Team Member Procedure

***NOTE** Non-U.S. citizens must register at least 7 days in advance of arrival (persons who are citizens of, born in, or working in sensitive country: 10 days in advance). **Do not travel to Argonne until you have received notice of approval from the User Office.***

***NOTE** The User Office verifies or initiates user agreements as part of registration. However, if you are based at a foreign institution, you may want to start early.*

- [1] Team Memb. Register as a user and receive a badge number. See Site Access by Users and Visitors ([Procedure # 3.1.43](#)).
- [2] User Office Process registration: notify user of badge number and required training, begin non-U.S. citizen approval if needed, begin user agreement process, set up gate pass.
- [3] Team Memb. Work with APS to obtain non-U.S. citizen access approval, if needed. See Site Access by Users and Visitors ([Procedure # 3.1.43](#)).
- [4] Team Memb. Work with APS to establish user agreement with your home institution. See User Agreements ([Procedure # 3.1.41](#)).
- [5] Team Memb. Complete the Web-based training indicated in the email confirming your registration. Go to [http://www.aps.anl.gov/Safety\\_and\\_Training/Training/](http://www.aps.anl.gov/Safety_and_Training/Training/). See User Training Policies and Procedures ([Procedure # 3.1.103](#)).
- [6] Team Memb. Arrive with the correct identity documents for your situation.
- [6] Team Memb. Complete sector orientation with your beamline contact.
- [7] Team Memb. At the end of your experiment, if you are certain you will not return to APS, give your badge to the User Office.

## 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 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](http://centraldocs.aps.anl.gov/comment_form.php)