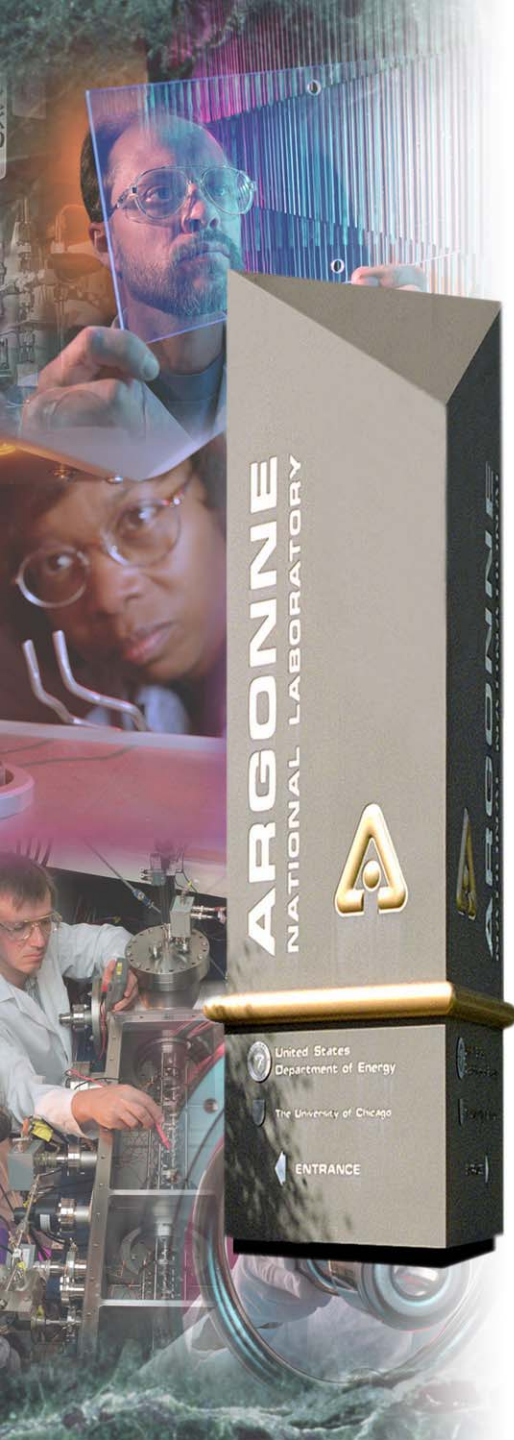


The APS General User and Partner User Programs

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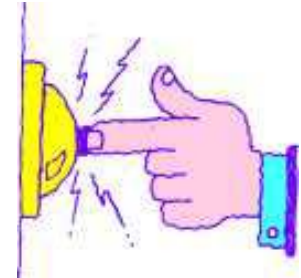
Background Information

- Previously, the general user (then called independent investigator or II) programs were administered by the CATs.
- One of the action items contained in the report delivered in March 2002 from the DOE review of the APS (10/01) was:

“...that the APS management implement a centralized review and beamtime allocation process for general users. The time allocated to general users must be reviewed and allocated through the facility with no exceptions.”

Centralized GU Program

- We felt that a centralized approach had many advantages:
 - single entry point to all beamlines (one front door)
 - common review panels
 - better/fairer access for GUs
- However, we did not want to disrupt established, well-run programs the CATs had developed.
- To address this issue a task force, made up of APS and CAT staff, was set up to develop a General User Program for the APS that satisfies both the DOE action item and meets the needs of all the APS CATs.



The First Call for GU Proposals

Timeline for Developing General User Program

- March 2002 Received DOE Review Report
- May 15-17, 2002 Discussions of centralized GU program at APS/User Retreat
- June 2002 Task force formed
- Aug. 2, 2002 DOE: System to be implemented starting in 2003
- Sept. 17, 2002 General User Policy approved by task force, CATs, and APS
- Oct. 18, 2002 System available for proposal submission
- Nov. 1, 2002 Proposal deadline for first GU call



Fully Electronic Submission Process

The image displays a collage of screenshots from the Advanced Photon Source (APS) website, illustrating the fully electronic submission process for a general user proposal.

Top Left Screenshot: Getting Beam Time

Getting Beam Time

FIRST-TIME USER!
Avoid delays and headaches
Make the most of your time on site
[Read our tips for new users!](#)

Proposal Form

There are two ways to obtain beam time at the APS: either as a general user (a researcher not associated with a particular beamline) or as a member of a Collaborative Access Team (CAT). Most beamlines at the APS reserve between 25% and 100% of their available beam time for general users. The process below describes the procedure for applying for this beam time as a general user on any APS beamline. For more details, see the [APS policy on general user access](#). If you are a CAT member, please [contact your CAT](#) on instructions on applying for CAT beam time.

How do I apply for beam time?

You must complete certain requirements before your research must have a proposal form.

which beamlines support the... more information and the current... of two Beam Time Allocation

Bottom Left Screenshot: APS General User Proposal System Instructions for Proposers

APS General User Proposal System
Instructions for Proposers

version 1.2
February 10, 2003

Contacts
General User Program: gs_program@aps.anl.gov, 630-252-0909
Technical assistance: tns_mgr@aps.anl.gov

Instructions available separately for:

- Macromolecular crystallography reviewers
- Proposal Review Panel chairs
- Proposal Review Panel members
- Beamline administrators

Contents

[Part I: Introduction](#)

[What Does the System Do?](#)
[Who Can Access My Proposal?](#)
[What Do I Already Have to Know?](#)
[What's New for Run 2003.2? \(New\)](#)

[Part II: How Do I Log On?](#)

[Part III: How Do I Create a Proposal?](#)

[Part IV: How Do I Access an Existing Proposal?](#)

[Home | Beam Time | User Info | Science | About Us | Operations | Search | Webpages Feedback | Security & Privacy Notice](#)

Top Right Screenshot: APS - General User Proposal

APS - General User Proposal

Proposal Title:

Proposal Type: Individual Program

Does this research involve macromolecular crystallography (single crystals)? Yes No

Is any aspect of this research proprietary? Yes No

Will government classified work be performed? Yes No

Does this research involve human subjects or materials? Yes No

Does this research involve live animals? Yes No

Are there known safety hazards associated with the proposed experimental procedure at your facility? Yes No

Bottom Right Screenshot: Experiment Safety Approval Form

Experiment Safety Approval Form

Status: () PEN: Role: Experimenter

NOTE: No experiment will be allowed to run until a properly completed and approved experiment safety analysis form has been posted by an APS Floor Coordinator

Sector: Date Submitted: 09/03/2003 U.S. government classified work will be performed: No

Does this research involve macromolecular crystallography? Yes No

Experiment Title:

Subject Area(s):

- Materials sciences
- Polymers
- Earth sciences
- Engineering
- Other (specify)
- Physics
- Medical applications
- Environmental sciences
- Instrumentation related to user facilities
- Other (specify)
- Chemistry
- Biological and life sciences
- Optics (excluding x-ray optics)
- Purchase of specialty service or materials

Specify Other:

Funding Source(s):

- DOE, Office of Basic Energy Science
- NACA
- Industry
- HHMI
- DOE, Office of Biological and Environmental Research
- NSF
- Foreign (specify)
- Howard Hughes Medical Institute (HHMI)
- DOE, Other (specify)
- NIH
- Other U.S. Government
- Other (specify)

Specify Other:

Pressing **SAVE** will allow you to save this proposal and continue to make changes. Notifications will not be sent.

Pressing **SUBMIT** will save this proposal AND notifications will be sent to the APS.



Types of GU Proposals

- Individual proposals: Proposals for single experiments that are valid until scheduled, up to one year.
- Program proposals: Proposals for an experimental program that require a series of visits to the APS over an extended time period. The Beam time Allocation Committees (BACs) will decide whether to allocate beam time for the whole series of visits (full approval and award) or to require the submission of a beam time request for each subsequent visit. Program proposals are valid for two years from the first requested cycle.
- Rapid-access proposals: Rapid-access proposals can be submitted at any time for available GU time. The proposal will be evaluated by the requested CAT and scheduled if the CAT considers the proposed experiment to be acceptable. Rapid-access proposals will receive retrospective review. The BACs will provide oversight of the rapid-access GU proposal process.



Review of GU Proposals

Proposal Review

Based on suggestions from the task force, two approaches were developed:

- Proposals for macromolecular crystallography:
Reviews will be made via e-mail with two reviewers per proposal. Reviewers will be cycled from a database of reviewers maintained by the User Office.
- Proposals for all other types of experiments:
These proposals will be reviewed by the Proposal Review Panel (PRP). PRPs will meet at the APS for proposal evaluations.



Proposal Review Panels

Proposal Review Panels

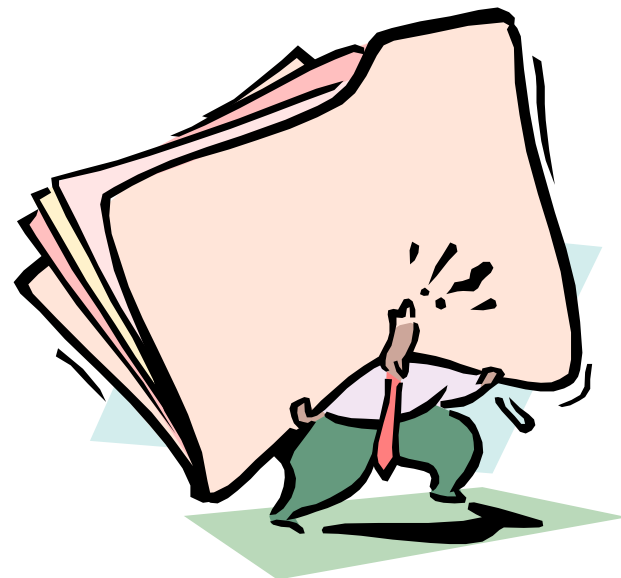
- Proposal Review Panels, organized by technique or scientific discipline, evaluate the scientific merit and technical feasibility of all proposals and provide a rating for each. Review criteria for each PRP is clearly defined and available on the APS GU web page.
- Panel members are appointed by the Associate Laboratory Director for the APS (ALD/APS) and serve a two-year term, renewable by mutual consent. The APS Users Organization Steering Committee and CAT Directors provide candidates for consideration by the ALD/APS.



Proposal Review Panels

Current PRPs

- Imaging/Microbeam
- Scattering - Applied Materials
- Scattering - Condensed Matter (expanded 8/03)
- Scattering - Chemical/Biological/Environmental
- Small-Angle Scattering
- Spectroscopy (EXAFS, XANES)
- Instrumentation (added 3/03)
- Macromolecular Crystallography (added 3/03 to resolve discrepancies from mail reviews and/or provide additional reviews)



Each panel has 4-6 members and all panels meet on the same day.

Beam Time Allocation Committee

- The Beam time Allocation Committees or BACs (one for macromolecular crystallography and one for the remaining proposals) award GU beam time.
- Members of the BACs are appointed by the ALD/APS for a term of two years, renewable by mutual consent. The Directors of all operational CATs provide candidates for the consideration by the ALD/APS. The APSUO Steering Committee will appoint the Chairs of the BACs.
- The two BACs meet shortly after the PRP scores have been determined and CATs have provided input.



Award of Beam Time

- In allocating beam time, the BAC takes into consideration:
 - Proposal reviews and ratings from PRPs
 - CAT evaluations
 - Special considerations (in support of outreach goals or for exploratory work)
 - Requested CAT(s)
 - Likelihood of success
- Once the BAC awards beam time, the CAT is responsible for scheduling the GU experiment and informing the APS User Office of the dates.



Calendar Year 2003 Schedule

Schedule Period	Proposals Due	PRPs Meet	BACs Meet	Cycle Begins	Cycle Ends
2003-1	Nov. 1, 2002	Nov. 8, 2002	Nov. 15, 2002	Jan. 29, 2003	April 20, 2003
2003-2	Feb. 21, 2003	Mar. 10, 2003	Mar. 17, 2003	May 28, 2003	Aug. 25, 2003
2003-3	Aug. 1, 2003	Aug. 15, 2003	Sept. 3, 2003	Oct. 1, 2003	Dec. 21, 2003



Scoring and Aging of Proposals

- Proposals are rated from 1 (highest) to 5 (lowest).
- If a proposal is not allocated beam time (because of rating), the rating is improved by 0.2 each cycle for a maximum of two cycles, e.g.:
 - A proposal rated a 3.0 that did not get beam time can request beam time for the next cycle, at which time the rating will be improved to 2.8.
 - If it does not get beam time again, the rating will be improved to 2.6.

Beam Time Set-Aside to GU Program

- Each beamline must make at least 25% of its beam time available to general users.
 - CATs that operate both bending-magnet beamlines and insertion-device beamlines must provide a minimum of 25% on each beamline.
 - If two or more stations can be operated simultaneously, 25% of the time on each must be provided to general users.
- Beamlines operated entirely by the APS will make 80% of the beam time available to general users.
 - Facility staff may compete for this general user beam time through the general user proposal process.
- If APS provides partial operational support for a beamline, the amount of general user time on that beamline will be negotiated on a case-by-case basis.



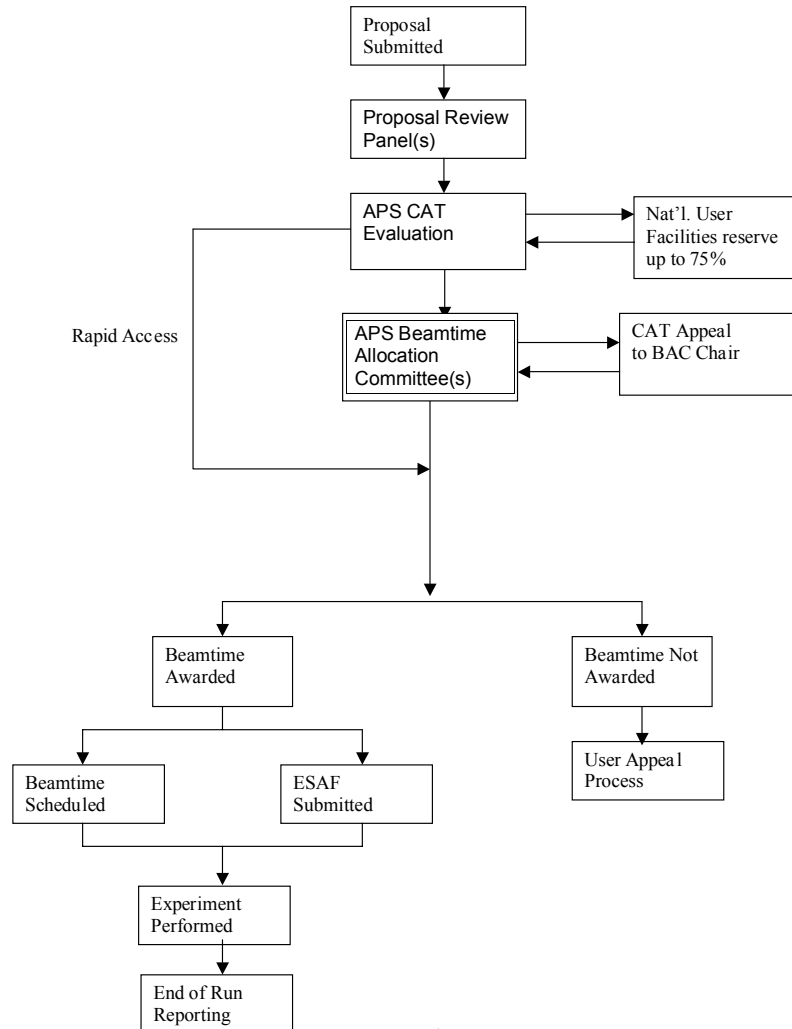
The Appeals Process

- If a proposal is not awarded beam time, the APS User Office will notify the principal investigator (PI) and explain why. The PI may modify and resubmit the proposal or withdraw it. If the author takes issue with the way the review process was administered, he or she may communicate these concerns in writing to the ALD/APS.
- The ALD Office will determine the action to be taken based on the results of the second review. The reviewers' comments will be provided to the user for consideration in future proposals.
- A user wishing to appeal should bear the following in mind:
 - An appeal does not guarantee a change in score.
 - An appeal does not guarantee allocation of beam time. Because scheduling is usually already in process when the general user allocations are completed, an appeal is unlikely to result in changes in allocations for the cycle initially requested.

For the first two cycles, only three appeals have been made by PIs.

A Summary of the Process

APS II Proposal Submission, Review, and Allocation Process

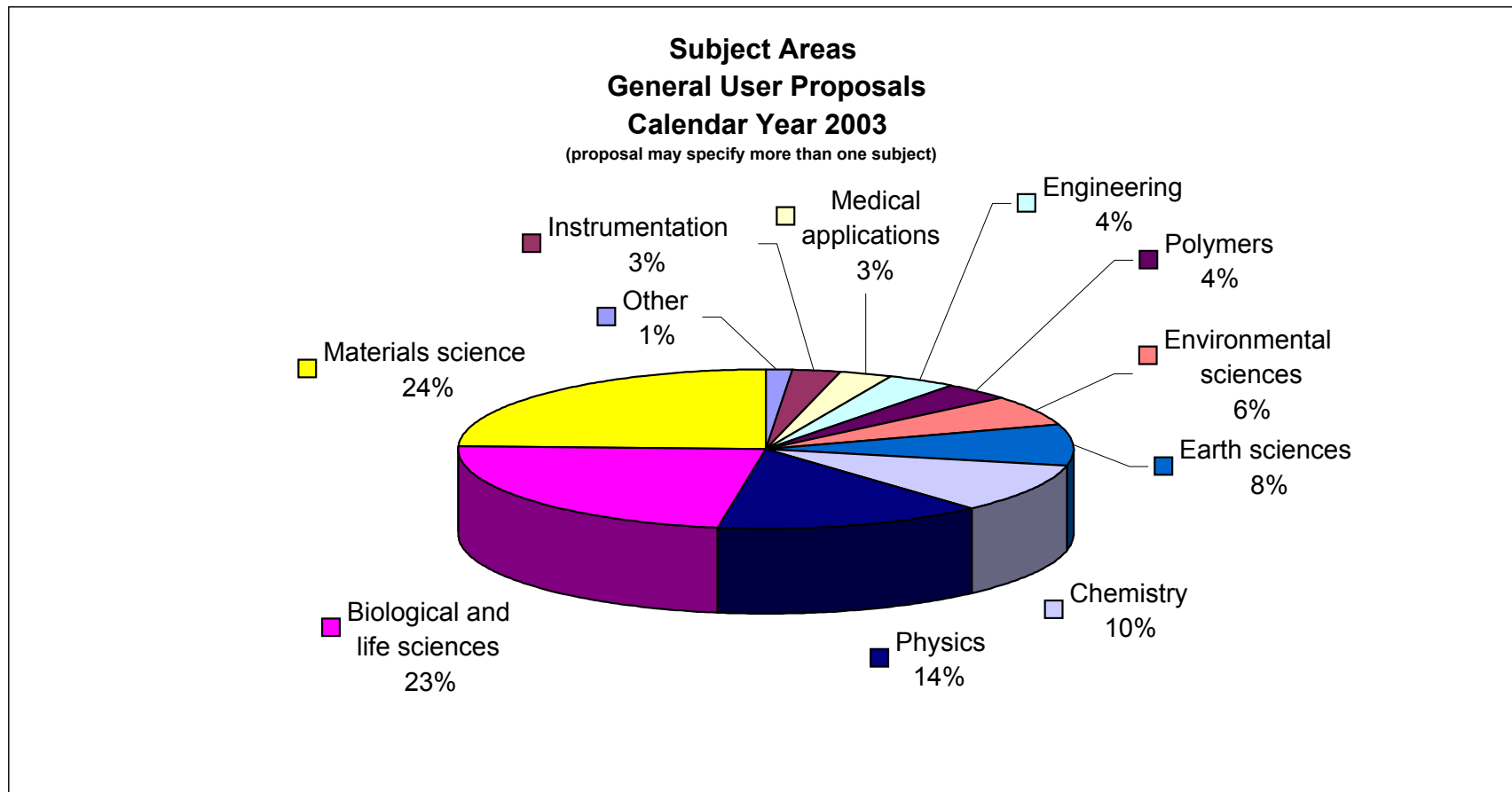


Statistics from the First 3 Runs

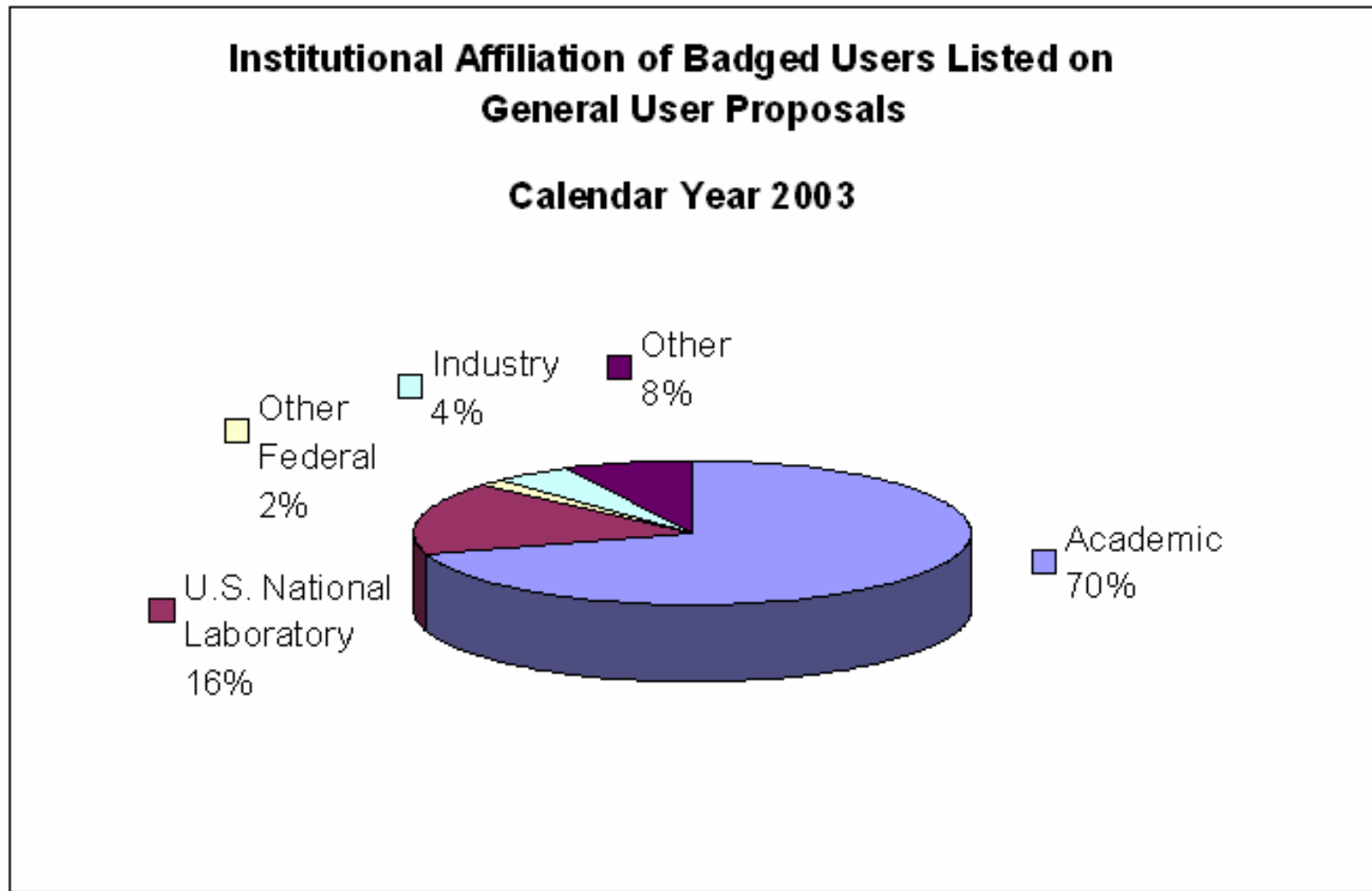
Cycle	Number of New Standard Proposals for Review	Number of Standard Requests for Beam Time	Number of Rapid Access Requests	Number of Shifts Available for GU Proposals	Success Rate
2003-1	230	320	20	2500	60%
2003-2	320	350	70	3000	66%
2003-3	320	420	80 (est)	3000	63%
Total	870	1090	170 (est)	8500	63%



GU Proposals by Subject Area



Affiliation of GUs



Partner Users

- Potential users can access the APS either as a general user or as a partner user (PU).
- A PU (individual or group) contributes to the facility or user community beyond simply performing good scientific research, as is typically the objective of a general user. For example, a PU might expect to accomplish one or more of the following:
 - Develop a new capability or new instrumentation
 - Develop a dedicated station or beamline
 - Design, build, and operate a full sector
 - Build a new user community
 - Engage in education/outreach
 - Perform other activities outside the scope of the APS General User Program deemed by the APS Scientific Advisory Committee to be valuable to the APS user community



Partner User Proposals

- The deadline for the first call for Partner User Proposals, or PUPS, of limited scope (i.e., proposals where all funds are in hand) recently passed and 19 PUPS were received (one was withdrawn before being reviewed).
- Based on the Screening Committee's recommendations:
 - 10 were approved (including 2 transition/continuation plans)
 - 7 were turned down (including 1 that was not of "limited scope")
 - 1 under further consideration

Summary

- The centralized General User Program is alive and flourishing.
- We have worked closely with the CATs to ensure that the centralized program does not impede their existing general users from getting beam time in a fair and timely manner.
- We will need to continually refine the overall process to ensure that access to the facility is as smooth and easy as possible. This includes not only the proposal process but also:
 - On-line information
 - Site access
 - Safety training
 - Other user support provided by the APS
- Partner user proposals have proved to be a flexible tool to help bridge the gap between general user and CAT status.

