



***Cover Page for Internal MAX IV Laboratory Use***

**MAX IV User Access Policy**

DNR: STYR 2016/1056.

Date: 28 March 2018

Revision: 2

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*Changes made in this revision*

<i>Rev</i>	<i>Change made</i>	<i>Date</i>	<i>By</i>	<i>Approved</i>
2	4.3.1 removed: <i>Such results and all related publications, must be submitted to MAX IV, no later than six (6) months after the project/Experiment was carried out at MAX V.</i> 8 changed <i>Peer Review</i> into <i>peer review</i> .	28 March 2018	Marjolein Thunnissen	



## **POLICY**

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## **MAX IV User Access Policy**

### *1. Policy Statement*

This policy presents the overall framework governing user access to MAX IV.

### *2. To whom does this policy apply?*

This policy applies to all MAX IV Users and User Institutions when working at the MAX IV Facilities.

### *3. Who is responsible for this policy?*

The directors of MAX IV have overall responsibility for this policy. The directors have delegated practical management of the policy to the User Office Coordinator. Any queries or suggestions relating to this policy should be sent to [policies@maxiv.lu.se](mailto:policies@maxiv.lu.se).

### *4. Policy*

#### *4.1. Access modes*

MAX IV Facilities are available to the scientific community in the following access modes:

- Open Access
  - Peer-Reviewed Access
    - Regular Access
    - Privileged Peer-Reviewed Access
      - Investor Access
      - External Access Programmes
    - Access for Education and Training
  - Non Peer-Reviewed Access
    - Access for In-House Research and Partners having Participated in the Beamline Build-Up
    - Directors Discretionary Access
- Proprietary Access

Access preparation and registration are managed through DUO. Scientific, technical and safety reviews are carried out at different levels depending on access mode. Remote access is considered equivalent to normal access if not otherwise agreed in writing.



#### *4.2. Responsibilities of Principal Investigator*

- 4.2.1 Each Experiment must be sufficiently staffed to conduct the Experiment safely and the Users must have correct and adequate training and education in order to perform the Experiment. If this cannot be assured it must be clearly stated in the Experimental Proposal
- 4.2.2 The Principal Investigator (PI) is the point of contact and has the responsibility for the Experimental Team. The PI has the right to transfer parts or all of his/her responsibilities to another User provided that it is clearly communicated to MAX IV in writing. Further, if the PI is not physically present during the Experiment, a contact person within the Experimental Team, who must be physically present, must be assigned.

#### *4.3. Publication of results*

- 4.3.1. Research outcome from all Experiments, except those made under Proprietary Access, are to be published in scientific publications in accordance with good international standards for the publication of research results. Any published result must include appropriate acknowledgment of MAX IV as a facility and beamline personnel as scientists. In accordance with good scientific practice, Users are encouraged to offer co-authorship to those working at MAX IV having made genuine scientific contributions to their work.
- 4.3.2. Experimental Reports are required for evaluation of follow up proposals and must be submitted to MAX IV no later than three (3) months after the project/Experiment.
- 4.3.3. References for publications related to Experiments carried out at the Facilities must be deposited in the MAX IV publications' database within three (3) months of the publication date.

#### *4.4. Financial framework*

MAX IV is entitled to charge User Institution for services outside MAX IV's ordinary range of services according to MAX IV's at all time applicable prices.

This section 4.4. does not apply to Proprietary Access. The financial framework for Proprietary Access will be regulated in individual agreements.

#### *5. Feedback*

Any feedback, suggestions for improvements and/or complaints relating to User Access as well as appeals related to allocation of beamtime, should be addressed to MAX IV User Office ([useroffice@maxiv.lu.se](mailto:useroffice@maxiv.lu.se)).

#### *6. Amendments to this policy*

This policy may at any time be revised by MAX IV.



## 7. Related resources

- European Charter for Access to Research Infrastructures  
[ec.europa.eu/research/infrastructures/pdf/2016\\_charterforaccessto-ris.pdf](https://ec.europa.eu/research/infrastructures/pdf/2016_charterforaccessto-ris.pdf)
- MAX IV General Terms and Conditions for Open Access  
[www.maxiv.lu.se/users/user-policies/](http://www.maxiv.lu.se/users/user-policies/)
- Experimental Data Policy (DNR: STYR 2016/1057)  
[www.maxiv.lu.se/users/user-policies/](http://www.maxiv.lu.se/users/user-policies/)
- MAX IV Laboratory Education policy (DNR: STYR 2015/719)  
[www.maxiv.lu.se/education-training/projects](http://www.maxiv.lu.se/education-training/projects)
- IT Rules & Guidelines  
[www.maxiv.lu.se/users/user-policies/](http://www.maxiv.lu.se/users/user-policies/)
- Guidelines for user access to MAX IV  
[www.maxiv.lu.se/users/user-guide/](http://www.maxiv.lu.se/users/user-guide/)
- Safety for users  
[www.maxiv.lu.se/safety/safety-for-users](http://www.maxiv.lu.se/safety/safety-for-users)
- Safety for staff, including radiation safety  
[www.maxiv.lu.se/safety/safety-for-staff](http://www.maxiv.lu.se/safety/safety-for-staff)

## 8. Definitions

For the purpose of this policy, the following definitions shall apply:

**Access for Education and Training:** Peer-Reviewed Access within the frame of academic or external education programmes

**Access for In-House Research:** Non Peer-Reviewed Privileged Access for MAX IV Staff

**Directors Discretionary Access:** Non Peer-Reviewed Privileged Access mechanism that allows assignment of access at the discretion of the Director

**DUO (Digital User Office):** web-based proposal submission and management system used for requesting all types of access.

**Experiment:** A set of tests or procedures carried out under controlled conditions at the MAX IV Facilities to determine the validity of a hypothesis or make a discovery within a research field.

**Experimental Report:** document to be provided by the User within the DUO system describing the immediate result of the Experiment.

**Experimental Team:** individuals, which may include the PI, who carry out an Experiment at the MAX IV Facility.

**External Access Programmes:** Peer-Reviewed Privileged Access for programmes with external funding, e.g. EU-projects.

**Investor Access:** Peer-Reviewed Privileged Access for organisations investing in MAX IV, distributed according to special agreement between investor and MAX IV.

**Facilities:** all research facilities made available by and at MAX IV, which may include equipment, services, information and other material, with or without MAX IV scientist collaboration, for purposes of performing Experiments at MAX IV.

**MAX IV:** the Swedish national synchrotron light laboratory as set out in regulation SFS 1994:946 (*Förordning (1994:946) om den nationella forskningsanläggningen i elektron-acceleratorlaboratoriet (MAX IV-laboratoriet) i Lund*), being a part of Lund University.

**MAX IV Programme Advisory Committees (PAC):** assist in allocation of beamtime by evaluating and ranking applications for Regular Access.



**MAX IV Staff:** individuals working at MAX IV under a contract of employment or consultancy with Lund University.

**Non Peer-Reviewed Access:** Participating Research Partner Access, Access for In-House Research and Directors Discretionary Access

**Open Access:** Peer-Reviewed and Non Peer-Reviewed access to beamlines, accelerators or similar research infrastructure at MAX IV Laboratory, which is free of charge provided that all results are published and registered with the Facility.

**Peer-Reviewed Access:** access available for allocation to Users through peer review after application in DUO. Research outcome from Experiments must provide an Experimental Report and successful Experiments must be published in scientific literature.

**Principal Investigator, PI:** the PI identified on the Experiment Proposal. For Experiments outside of the Experimental Proposal system, the PI is the person initiating the Experiment.

**Privileged Peer-Reviewed Access:** access for Investors and External Access Programmes.

**Proprietary Access:** non peer-reviewed, market driven, access.

**Regular Access:** access available for allocation to general Users through the MAX IV Programme Advisory Committees (PAC) after application in DUO.

**User:** all individuals making use of the Facilities including scientists, engineers and students from academia, research councils and charitable institutions, researchers from commercial and non-commercial organisations and MAX IV Staff.

**User Institutions:** all institutions, universities, companies and other organisations, regardless of legal form, making use of the Facilities.