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| European Spallation Source ERIC  Scientific Evaluation and User Access Policy |
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1. **Background and Principles**
   1. The *raison d’être* of the European Spallation Source ERIC (ESS) is to enable researchers to perform cutting-edge science with high societal and scientific impact, which is an element of the strategy to sustain a knowledge- and innovation-driven economy in Europe. For the facility to deliver excellence for science and innovation, ESS shall offer world-leading neutron-based methods to the European science community and industry. Interaction, engagement and support of the neutron user community are to be the motors of the ESS operating team.
   2. This policy presents the overall framework governing User Access to ESS. This User Access Policy is one of the policies referred to in the ERIC statutes [1] and further details the first ESS Access Policy approved by Council during its first meeting in 2015, when Council noted that it should be revised and detailed well before the start of operations.
   3. The basic principles for access are specified in articles #2 and 2.2#17 of the ERIC statutes [1]. ESS acknowledges the international best practice defined in the European Charter [2] including its principles on ethical conduct, research integrity and non-discrimination, as well as the International Recommendations [3] for Access to Research Infrastructures.
   4. The leading principle for access is excellence: excellence in the different scientific disciplines, in addressing the grand societal challenges, in scientific method development, and in industrial relevance and innovation [4]. In addition, technical feasibility, capability of the experimental group, and availability of the resources required will be taken into account when granting access.
2. **Beamtime Available to Users**
   1. During routine operations in steady state, ESS will deliver 200 neutron production days per year. At any instrument in the user program, 160 of these 200 days shall be available as Beamtime Available to Users for user science from the academic and industrial community. That is, Beamtime Available to Users shall claim 80% of the annual neutron production days.
   2. The remaining 40 days (20%) will be allocated as Facility Time used for instrument improvements and calibration, re-scheduling of experiments and optional days for interventions. Facility Time will also provide time for the ESS scientists for scientific, technical and methodological tests and feasibility studies and for scientific or methodological training activities for the user community. The usage of Facility Time will be at the discretion of ESS management and reported *a-posteriori* to the Scientific Advisory Committee.
3. **User Access Modes**
   1. **Peer Reviewed Access**
      1. For all instruments the principal route of access to Beamtime Available to Users will be Peer Reviewed Access (PRA) of research proposals.
      2. For PRA the selection of research proposals is guided by external review and monitored by the ESS Scientific Advisory Committee. Its success is measured *a-posteriori* by relevant key performance indicators.
      3. Data obtained through PRA are always open and governed by the ESS scientific data policy [5]. Results shall be openly available and published in accordance to the dissemination policy decided by Council.
      4. PRA enables users to get access to available ESS facilities, resources and services, to the extent that these are coupled to an ESS neutron experiment. ESS shall be entitled to charge for additional services outside the ordinary range of ESS services.
      5. The ESS review panels are composed of subject matter experts external to ESS plus ESS representatives. The former are appointed by ESS management considering the advice of the Scientific Advisory Committee.
   2. **Quick Access**
      1. Quick Access entails asking for access to instruments for relatively simple characterisation experiments that require a small amount of beam time by mailing the sample to ESS. Such experiments may e.g. be testing samples, completing experiments and performing brief one-off (additional characterisation) measurements to contribute to publications.
      2. Quick Access shall be subject to clauses 3.1.3, 3.1.4 and 3.1.5 in this policy.
   3. **Discretionary Access**
      1. Through Discretionary Time, users can access beam time on instruments by making their case to the Director for Science. This can be used when prioritised access is crucial because of top-level science or short-lived samples.
      2. Discretionary Access shall be subject to clauses 3.1.3, 3.1.4 and 3.1.5 in this policy.
   4. **Industrial Proprietary Access**
      1. Industrial Proprietary Access (IA) enables companies (or academic organizations) conducting R&D work to purchase access to ESS to enhance their competitiveness. Within IA full intellectual property protection is possible and the requirement for open publication may be waived, as defined by contracts.
   5. **Alternative Access Routes**
      1. To complement the ESS review panels and to improve scientific impact, strengthen industry-academic partnerships and increase collaboration between neutron and non-neutron research infrastructures, access may be enabled via cross-facility or other external review panels from topical consortia, networks, grants and collaborative industry actions.
      2. Any alternative access routes shall be subject to clauses 3.1.3, 3.1.4 and 3.1.5 in this policy.
   6. **Capping Access Routes**
      1. Other than Peer Reviewed Access, a cap may be applied on the usage of ESS facilities, resources and services distributed by the access modes described above. The ESS Council, after consultation with the Science Advisory Committee, shall be responsible for establishing such a cap. The usage of access modes other than peer reviewed access will be at the discretion of ESS management and reported *a-posteriori* to the Scientific Advisory Committee.
4. **The Role of ESS Scientists**
   1. ESS scientists have access to Facility time as described in section 2.2. Otherwise, ESS Scientists apply for ESS facilities, resources and services via the same mechanisms as any other user.
   2. ESS will provide every experiment with a Local Contact who will support and guide the user through all aspects of their experiment. The Local Contact, as well as ESS Resources and Services, must be acknowledged in accordance with the Policy for User Scientific Publications [6]
5. **National Balance**
   1. The ERIC statutes [1] state that “ESS shall provide effective access for European and international researchers as well as other relevant users” and “be open for access to others than member countries”. For all access modes under their above-mentioned conditions with the exception of industrial proprietary access, the use of ESS facilities, resources and services is free of charge for all academic and industrial users. ESS will support travel and accommodation for users from member countries only.
   2. Proposals for usage of ESS facilities, resources and services will be tracked with respect to the proposers’ affiliation. Proposals with multiple affiliations, involving researchers from multi-national research infrastructures as well as ESS scientists, will need special attention for establishing the appropriate categorisation. ESS management shall establish criteria which enable the attribution of proposals to (i) the different ERIC member countries as well as (ii) non-member countries or entities. The Scientific Advisory Committee will be consulted when establishing these criteria.
   3. Based on this categorisation and regular evaluation, ESS management supported by Council shall strive for a time-averaged balance on ESS usage for all partners within ERIC member countries. Such a balance may include monetary aspects (membership share in ESS, one-off beam fees, program-oriented in-kind contributions) and non-monetary aspects (scientific collaboration, reciprocal usage of facilities, methodological development), at the discretion of management. Likewise, recompense for the use of ESS by non-member countries or entities may include monetary and non-monetary aspects including future membership enlargement.
   4. Management may enact a cap for proposals from non-member countries or entities if they deem this to be necessary. The ESS Council, after consultation with the Science Advisory Committee, shall be responsible for establishing such a cap. Such a cap shall be enacted after proposal evaluation but prior to usage of ESS facilities, resources and services. The effect of such a cap and the way it is implemented needs to be carefully monitored with respect to the ESS scientific performance indicators. Such a cap may be applied via all access modes. ESS management will report back to the Scientific Advisory Committee and Council regularly.
6. **General Principles**
   1. **Coverage**
      1. This Policy for User Access (“Policy”) covers all access to Beamtime Available to Users. It is limited to public instruments using neutrons.
      2. This policy should be read in conjunction with the Policy for User Scientific Publications and the Policy for Scientific Data.
   2. **Revisions**
      1. Revisions to this Policy may occur for any reason or at any time, subject to the approval of the European Spallation Source ERIC Council (“Council”).
      2. Revisions to this Policy by the Director General of ESS may occur with immediate effect and can be retroactively approved by the Council.
   3. **Who is Responsible for this Policy?**
      1. ESS management has overall responsibility for this policy and has delegated practical implementation of the policy to the Scientific Coordination and User Office.
   4. **Notifications**
      1. Once the Policy is revised, ESS shall make reasonable efforts to notify affected parties and allow such parties reasonable time to make appropriate adjustments accordingly.
   5. **Infringements**
      1. Deliberate infringements of this Policy may result in denial of ESS proposals in the future.
7. **Definitions**
   1. “Beamtime Available to Users” are the neutron production days that will be made available to ESS Users.
   2. “Discretionary Access” is an access mode whereby the Director of Science can use their discretion to provide instrument access, on receipt of a suitable proposal.
   3. “ERIC” is the abbreviation for European Research Infrastructure Consortium, a legal framework within which joint venture European Infrastructure projects can be managed.
   4. “ESS Users” includes scientists and engineers from academia, research councils and charitable institutions and researchers from commercial or non-commercial organizations.
   5. “ESS Resources and Services” include ESS instruments and sample environments, samples prepared entirely or partially in ESS laboratories and data reduction and analysis services provided by DMSC.
   6. “Facility Time” includes all the neutron production days that are not made available to ESS Users.
   7. “Local Contact” is the term to describe the primary scientist at ESS providing support for an experiment. Regular users may or may not routinely be supported by the same scientist when working on the same instrument.
   8. “Peer Reviewed Access” (“PRA”) refers to the access granted through the external peer review process.
   9. “Proposal Team” (“PT”) refers to anyone designated by the PI with the right of access by way of notification on the original experimental proposal or via written communication to SCUO. “Principal Investigator” (“PI”) refers to the main proposer identified on the experiment proposal.
   10. “Industrial Proprietary Access” (“IA”) refers to the access granted through purchase for the purpose of proprietary confidential activity.
   11. “Instrument(s)” refers to any and all instruments, including beamline instruments, used at ESS during the execution of experiments.
   12. “Neutron Production Days” are days on which the ESS machine will operate, producing neutrons that can be used by Instruments at ESS.
   13. “Quick Access” (“QA”) is a mail-in access mode, enabling the simple characterization of a small number of samples.
   14. The “Scientific Advisory Committee” consists of outstanding scientists not employed by or otherwise immediately connected with ESS, and advises the Council in scientific matters and other matters of importance for ESS. The members of the Scientific Advisory Committee and its Chair are appointed by the Council.
8. **References**

[1] ERIC statutes

https://europeanspallationsource.se/sites/default/files/ess\_eric\_decision\_20151478ec.pdf

[2] European Charter, ISBN 978-92-79-456

[3] IUPAP recommendations:

http://iupap.org/wp-content/uploads/2013/12/Recommendations22ndGeneralAssembly.pdf

[4] ESS Innovation Policy ESS-0100643

[5] ESS Policy on Scientific Data ESS-0127796

[6] ESS Policy on User Scientific Publication ESS-…. (in preparation)

Document Revision history

| Version | Reason for revision | Date |
| --- | --- | --- |
| 0.0  0.1  0.2 | Outline of policy in new format  Return core text from previous draft to this policy format  Minor changes from | 2019-08-29  2019-09-02 |