TECHNICAL NOTE

UPEX: Reviewer Guide

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at the European XFEL

Revisions

Version	Date	Description
1.4	9 July 2019	■ Updated Section 2.5, "Proposal resubmission or continuation" ■ Added Section 2.6, "Viewing experiment reports of previous proposals"
1.3	5 June 2018	■ Section 1.1, "How to register": Added note for EuXFEL or DESY staff ■ Section 1.2, "Log-on screen": Added note about UPEX lightweight account and campus account ■ Added Section 2.5, "Proposal resubmission or continuation"
1.2	5 April 2017	Added new log-on screen, new username recovery procedure, and updated Review member assignment
1.1	4 April 2017	Added "Downloading zipped PDF files of all proposals"
1.0	31 March 2017	First version

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Preface

The European XFEL (EuXFEL) is a research facility open to scientists worldwide. Beamtime is free of charge, but experiment proposals must go through a review process. Proposals must be submitted through the User Portal to the European XFEL (UPEX). As an important condition for access, after the experiments, the authors must strive to publish the results in peer-reviewed journals.

Before you start using UPEX, please be aware of some basic features, depending on database criteria:

■ Fields in the registration and proposal form should be completed in English. Names should be transcribed into standard Latin characters.

■ Please be aware that symbols may not be saved if imported into a form field[1]. In this case, we recommend a transcription into Latin script (e.g. α = alpha, β = beta).

For specific information about Proposal Review Panel (PRP) chairpersons and members, go directly to Chapter 2, "Reviewing proposals," on p. 11.

For other information, contact the EuXFEL User Office (useroffice@xfel.eu).

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[1] Following the ISO/IEC 8859-1 Standard.

1   Registering in UPEX

At the present stage, external users need a valid account in UPEX to be involved in any of the following tasks:

■ Submitting a proposal (Main Proposer)

■ Appearing on a proposal as Principal Investigator or Co-Proposer

■ Reviewing proposals as a member of a PRP or as an external referee

■ After a proposal has been allocated beamtime, being assigned to the experiment as a member of the user team (in case there is no perfect match with the list of proposers)

These different tasks are possible in the normal user role. This implies that none of the above is possible if registration in UPEX has not been correctly completed at a previous stage. Please allow for some time for processing in case your affiliation is not yet in our database and needs to be added by the EuXFEL User Office. In the future, more access functionality is planned: registration for the experiment, submission of feedback forms, experiment reports, and information on publications.

1.1   How to register

To register in UPEX, follow these steps.

1 From the EuXFEL website, and click the link to UPEX:

https://in.xfel.eu/upex

2 At the bottom of the UPEX log-on page, click **Create New Account** to open the registration form.

⚠ **CAUTION:** This does not apply to EuXFEL or DESY staff, who can simply log on to UPEX at the above link with their usual EuXFEL or DESY credentials and fill in the few required fields.

3 Fill in all fields, as requested.

Fields marked with an asterisk (*) are mandatory.

1.1.1 Registration rules

When registering in UPEX, follow these rules:

- **Username**

  Usernames can have only 4 to 8 alphabetic characters (a–z). They are case-sensitive and must be unique.

- **Password**

  Passwords are case-sensitive and must have at least 6 characters.

- **Email address**

  An existing unique email address is required to register. All correspondence relevant to the project and other important information will be sent to the email address you indicate. Please make sure you enter this information correctly.

- **Position**

  When attributing the Principal Investigator responsibility in your proposal, make sure that the relevant UPEX user has a staff position and that this information is stated in the appropriate field.

- **Affiliation**

  Select an affiliation from the existing database by clicking Select My Institute and searching by the name of the organization (mostly full name, abbreviation, or both) or town. If you do not find your affiliation, or if the name, address, or department is not correct, click the appropriate link at the bottom of the form to request support from EuXFEL User Office by email and give the correct information.

The same applies if your department is not listed for an organization that is already in our database.

1.1.2 Email verification

After you have registered, a validation email is sent to your email address.

⚠️ **CAUTION:** This does not apply to EuXFEL or DESY staff.

To validate your email, click the validation link in the body of the message. Before you do this, make sure that the complete validation link is fully marked as such. If it is not, you can copy and paste the link in the body of the validation email into the location bar of your browser.

⚠️ **CAUTION:** The validation must be completed within 24 hours from the time of registration. Failure to complete the validation in this timeframe will result in removal of the account.

1.2   Log-on screen

At the top of the log-on screen, you have the option to authenticate by using specific UPEX account credentials or XFEL/DESY credentials, as shown in Figure 1.

Figure 1: *UPEX log-on screen*

ℹ️ **NOTE:** Authentication through an UMBRELLA account will be available at a later stage.

If you already have an account in UPEX, enter your username and password to log on to the system.

If you do not remember your password, you can click Reset Your Password, enter your username or the email address you listed when registering your account in UPEX, and confirm Reset Your Password. A password reset link will be sent to the email address (see Section 1.1.1, "Registration rules"). Open the email and click the reset link. You will be then re-directed to UPEX. Enter and confirm your new password in the form displayed. From there, you

will be able to log on directly. The new password will be active for all subsequent log-ons.

ⓘ **NOTE:** If you do not remember your username, request a reset link by indicating your email address. The username will be indicated in the form displayed in UPEX after clicking the reset link. Otherwise, contact the EuXFEL User Office (useroffice@xfel.eu).

➲ **TIP:** If you are also a user, you may want to refer to Section 1.2, "UPEX lightweight account vs. Campus account", in the _UPEX Experiment Proposal and Registration Guide_ for more information about the difference between these two accounts.

1.3 Your UPEX homepage

When you register for UPEX, the Normal User role is assigned by default, as shown in Figure 2.

Figure 2: _Normal User dashboard in UPEX_
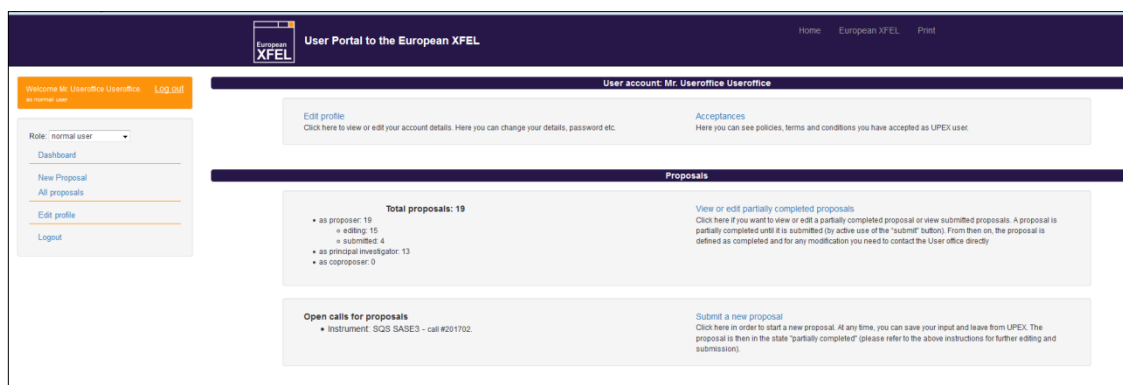
1.3.1 Edit profile

If you select the Edit Profile option, you can update your personal details (e.g. including password, affiliation, and other contact information. After registration, it is possible to update this information without limitation. However, after a first change of your personal details, you be allowed to change them again only after 7 days.

1.3.2 Proposals

You can also access all of the functions described below through the left sidebar on your dashboard. If more than one UPEX role has been assigned to

you, you can switch to the relevant dashboard (and the relevant options) from the dropdown list at the top of the left sidebar.

1.3.2.1 View or edit a partially completed proposal or view submitted proposals

By clicking the link View or Edit Partially Completed Proposals, you can view some information about the number of proposals in which you are involved.

⚠ **CAUTION:** A proposal is "partially completed" until it is actively submitted (by clicking the Submit button). From then on, you will not be able to change anything in the proposal.

By selecting the link, you can access an overview of the proposals you are involved in as Main Proposer, Principal Investigator (PI), or Co-Proposer, as shown in Figure 3. You can also view or download them as a PDF. Main Proposers also have the permission to edit partially completed proposals (i.e. proposals in Editing status) and submit them before the call deadline.

Figure 3: Overview of proposals entered in UPEX as Main Proposer or Co-Proposer

1.3.2.2 Proposal withdrawal

To withdraw a submitted proposal, contact the EuXFEL User Office (useroffice@xfel.eu).

1.3.2.3 Submit a new proposal

Clicking Submit a New Proposal enables you to start the process of submitting a new proposal by opening the EuXFEL Proposal Form (PF).

1.4 Icons used in UPEX

In the UPEX graphical user interface (GUI), you can hover your mouse over any icon to get context-sensitive help. Clicking the icon executes the action, as shown in Table 1.

Table 1: Definitions of UPEX icons

| Icon	Name	Action
	View	View a proposal in the UPEX GUI.
	Download	Download the PDF file of a proposal in which you are Main Proposer, PI or Co-Proposer at any stage.
	Edit (green)	Edit the document/section of a form.
	Edit (grey)	Editing function is not available. For example, if this icon appears in the proposal overview on your dashboard, either you are not the Main Proposer who initiated submission and do not have the corresponding privileges or the proposal was already submitted. For details, see the *UPEX: Registration and Proposal Submission Guide* (XFEL.EU TN-2017-001).
	Delete	Delete a specific form section.
	Clone	Clone the current section (e.g. a sample sheet) and edit the copy to produce a new section.
	Normal Reviewer	PRP member has a Normal Reviewer role based on the evaluation of the proposal online.
	PRP Member	PRP member has been selected to act as Lead Reviewer for the specific proposals and will be asked to report about the project at the PRP meeting. if required.

2 Reviewing proposals

As soon as the proposals are available after the preliminary safety checks, the chairperson of the relevant PRP is informed by the EuXFEL User Office (usually via email) and can start reading proposals and assigning them to members of the PRP. Members are given the Review member role for a given PRP or committee. The chairpersons of a PRP are attributed the Review Chairman role and a Review member role. A normal user role is standard on registration to UPEX.

2.1 Viewing and assigning proposals in the Review Chairman role

You can access the overall list of proposals submitted to the PRP by clicking Proposals in the dashboard or in the sidebar on the left side of the dashboard, as shown in Figure 4.

Figure 4: *Review Chairman role dashboard*
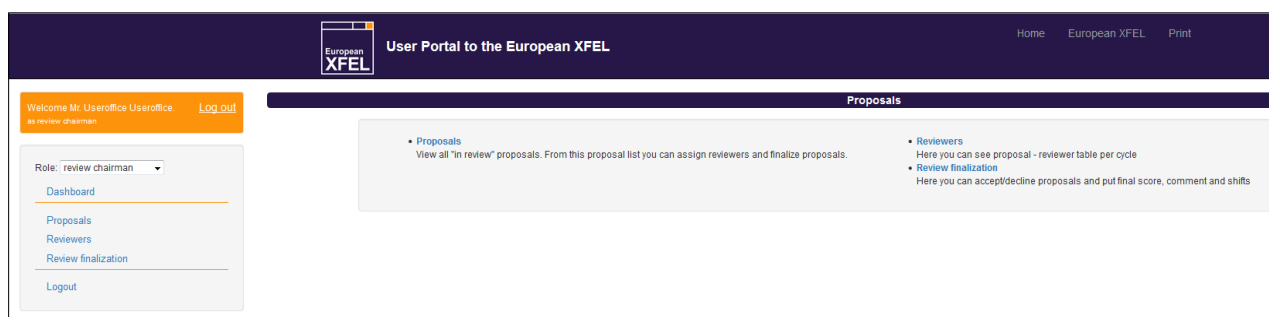
By clicking the green icon (📝) at the right of each proposal in the list, the PRP Chairperson (role: Review Chairman) can access the proposal management tool and assign proposals to review to PRP members (role: Review member), as shown in Figure 5.

Figure 5: *List of proposals in Review Chairman role*

In case external referees need to be involved (see the *Terms of Reference of the Proposal Review Panels of the European XFEL*), the relevant role and specific proposals can be attributed by the User Office role only.

Proposals can be viewed directly from this screen, section by section, by clicking the black arrow on the left side of each orange section:

You can also download the complete proposal as a PDF by clicking the button at the top and bottom of each orange proposal sections.

ⓘ **NOTE:** A one-click PDF download option for all proposals submitted to a PRP is under development at the time of this writing.

Figure 6: *Proposal Review start screen in the Review Chairman role*

In order to assign reviewers, click the Add Reviewer icon (+ Add reviewer) at the bottom of the Proposal Review start screen. A new, smaller window opens, as shown in Figure 7. By clicking Select at the right side of one of the records browsed, you will be able to select the name of a reviewer among the members of the PRP. Proceed again the same way to add another reviewer.

(i) **NOTE:** At least three reviewers should be assigned to each proposal.

Figure 7: Assignment of a reviewer selected among the PRP members
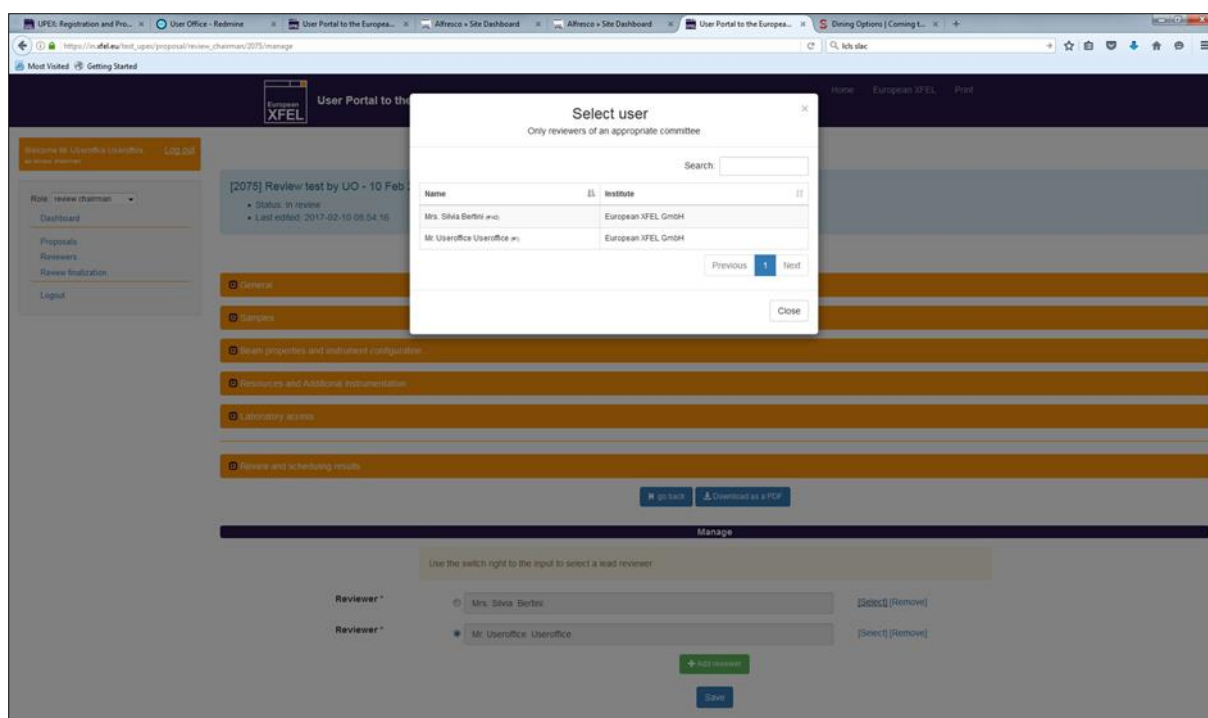
After assigning reviewers as needed, appoint one of the reviewers as Lead Reviewer by clicking the radio button at the left of the name field, as shown in Figure 8.

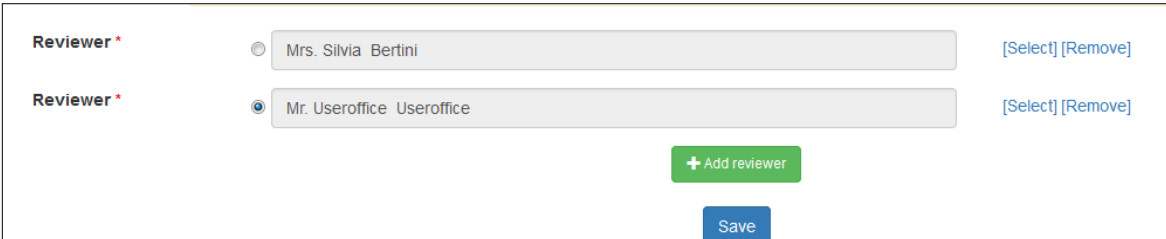*Figure 8: Assigning a Lead Reviewer by selecting a radio button*

Figure 9: *Proposal review form in Review Chairman role after selection of some reviewers, including a Lead Reviewer*

CAUTION: After completing the assignment, click Save before going back to the proposal list (by clicking the Go Back button at the top and bottom of proposal fields).
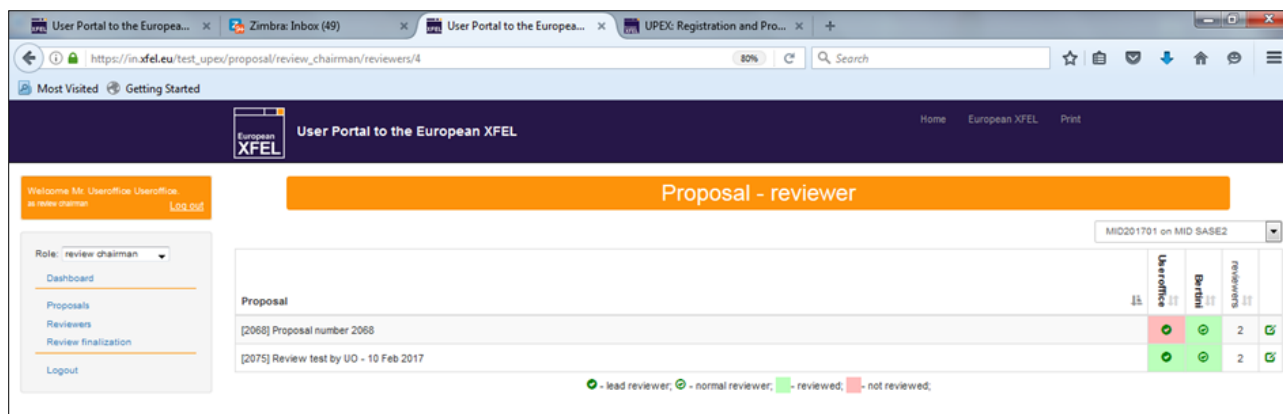
NOTE: The reviewer selection in the Review Chairman role can be modified even after the reviewers have entered their evaluation for the specific proposal. Please use this feature very carefully and inform the relevant PRP members directly in case of changes in their assignment .

To see an overview of the reviewers assigned to each proposal, click Reviewers in the Review Chairman role dashboard, as shown in Figure 10.

Figure 10: *Review Chair dashboard*

After all proposals have been assigned, the PRP chairperson is requested to contact the EuXFEL User Office, which will inform the PRP members. At this point, the members can start to review proposals.

2.2 Reviewing proposals in the Review Member role

PRP members can browse the list of proposals by logging on to UPEX and switching to the Review Member role through the dropdown menu in the top left of the dashboard, as shown in Figure 12.

Figure 12: *How to switch to the review member role*
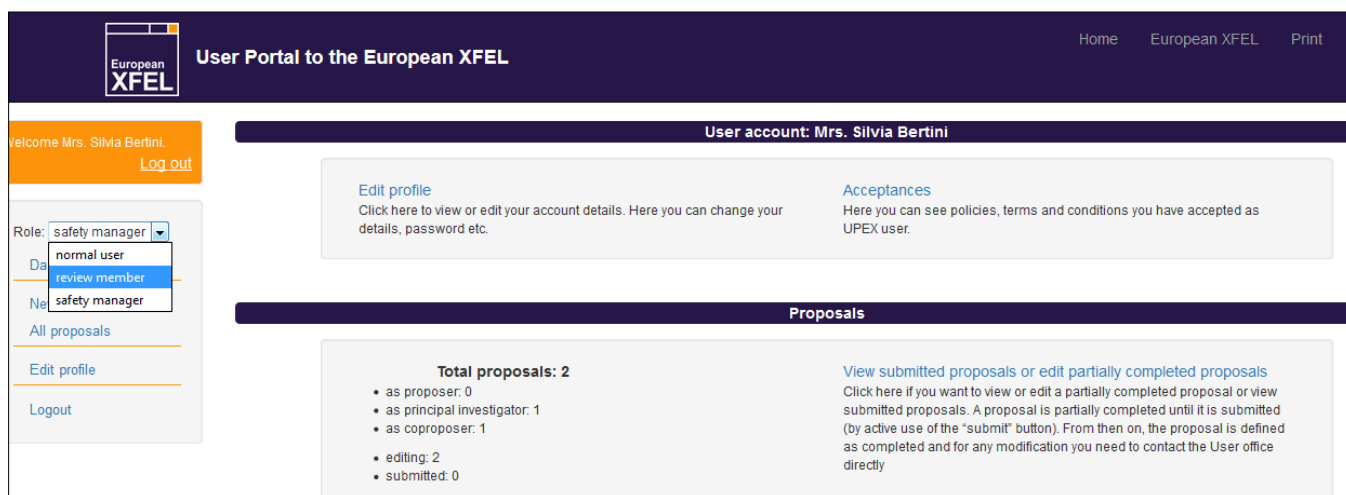
PRP members have permission to see proposals related to their PRP if they have In Review status, on the condition that the end of the call is in the past, and the start of the allocation period is in the future.

Figure 13: List of proposals assigned to a PRP member for evaluation

The Proposals List also includes the proposals specifically assigned for evaluation.

If the feasibility checks and the safety checks for a proposal have been carried out, the outcome is displayed in the corresponding fields to the right of the table (unless there are other "offline" agreements about receiving information). Normally, the outcome of these checks should be available approximately one week before the review meeting.

The Normal Reviewer icon ( ) next to the proposal information means that the PRP member has a Normal Reviewer role based on the evaluation of the proposal online.

However, if the PRP Member icon ( ) appears next to the proposal information instead, this means that, in addition, the PRP member has been selected to act as Lead Reviewer for the specific proposals and will be asked to report about the project at the PRP meeting. if required.

Clicking the Edit icon ( ) enables you to access and enter the evaluation outcome about the proposal. Then you can view the proposal directly from

this screen, section by section, by clicking the black arrow on the left in each orange section:

▶ General

At the bottom of this view, the results of the evaluation can be entered (Score, Shifts Recommended, and Comments).
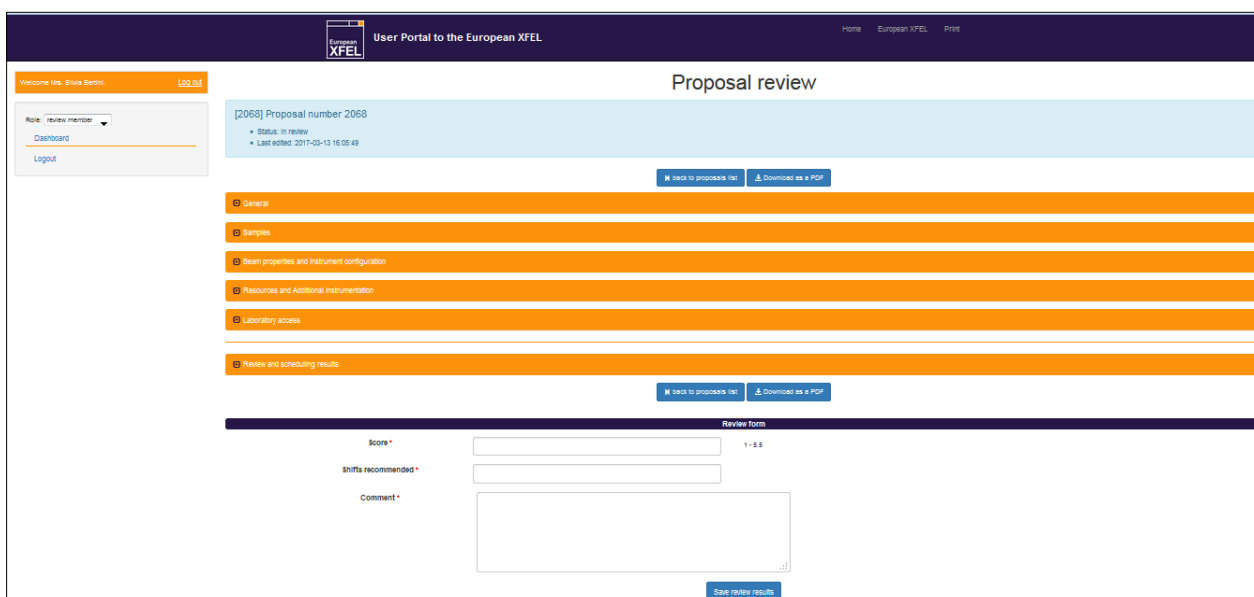
⚠ **CAUTION**: Save your work before moving to another proposal (by clicking Save Your Results). You can edit your input after saving, generally until one day before the PRP meeting.

Figure 14: Proposal Review screen

To switch to another proposal, save, click Back To Proposal List and select another proposal through the Edit icon (✏).

Shortly before the PRP meetings, the input concerning internal checks and scientific reviews is finalized and all proposals acquire the status In Chair Review. At this stage, no changes will be possible in the evaluation texts by reviewers, safety manager, or instrument scientists. In case of problems, contact the EuXFEL User office (useroffice@xfel.eu).

After finalization of the review results in UPEX and discussion at the PRP meeting, the following information is required for each proposal:

■ Number of recommended shifts,

■ Final score

■ Final comments (to be used for communication with the proposers)

■ Notes about events or observations made during the meeting (see the *PRP Terms of Reference*)

In the Review Chair role, you can see a review overview table by clicking Review Finalization (see Figure 10 above).

Figure 15: *Review Finalization table in Review Chairman role*

The PRP chairperson can enter the final outcome of the evaluation directly in the table in the field marked Empty. The buttons at the top left of the table enable you to copy the table (in order to paste it into a Microsoft Excel file) or export it as a .csv or Microsoft Excel file.

The exported Microsoft Excel file can be used for taking notes during the PRP meeting (offline). The finalized notes can then be copied and pasted back to UPEX by using the Review Chair role or the Liaison Scientist role.

⚠ **CAUTION:** If you click Finalize at the bottom of the table, the input cannot be edited any longer and will be submitted to the EuXFEL Management as final.

2.3 Supporting PRPs in the Liaison Scientist role

The Liaison Scientist role enables liaison scientists to access the Review Finalization table (Figure 15) in order to assist the PRPs in the framework of their meetings and enter information online or offline, as required.

ⓘ **NOTE**: Liaison Scientists can only enter and edit the input, Chairpersons have additional permissions to finalize results in the Review Chairman role.

2.4 Downloading zipped PDF files of all proposals

You can initiate a download of the zipped PDF files of all proposals belonging to a cycle in the table at the bottom of Proposal List in the Review Chairman, Review Member, and Liaison Scientist roles.

Soon after clicking the Download button (⬇), you will receive a download link by email. The speed of the process is variable and may take up to 15 minutes, depending on the number of requests received by the system.

Figure 16: Initiating a zip download of proposal PDFs

Proposal bulk download					
Here you can generate a zip file containing all proposals in a cycle. This may take up to 15 minutes. But you do not need to wait. Soon after clicking the button you will receive your download link by email.					

Name	Call start	Call end	Allocation start	Allocation end	
MID201701	2017-02-08 00:00	2017-04-30 23:59	2017-09-01 00:00	2017-11-30 23:59	⬇

2.5 Proposal resubmission or continuation

2.5.1 Resubmission or continuation proposals regarding the same instrument

Assuming that the Main Proposer indicates the ID of the previous proposal of which the new one is a resubmission or a continuation, in the general part of this one, you will see a clickable link with the proposal ID and title. By clicking it, you will open the relevant proposal in UPEX.

2.5.2 Resubmission or continuation proposals regarding different instruments

In case you need to access to proposals submitted previously to a different Panel (for example, in case of proposal resubmission or continuation), please contact the EuXFEL User Office (useroffice@xfel.eu). We can provide you with only the PDF file of these proposals on request.

2.6 Viewing experiment reports of previous proposals

Experiment reports relevant to experiments carried out in the past are accessible through the "All proposals" list in the review member role. If a report has been uploaded by the users, a download icon (⬇) can be seen in the column "Experiment report".

You can download the experiment report directly by clicking the link. The experiment report will also be included in the PDF file if you download the full proposal to which it refers.

The experiment report is <u>not</u> included in the new continuation proposal assigned for review, since it is not a progress report relevant to the more recently submitted project.