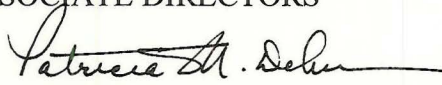




Department of Energy
Office of Science
Washington, DC 20585

November 18, 2014

TO: OFFICE OF SCIENCE ASSOCIATE DIRECTORS

FROM: PATRICIA M. DEHMER 
DEPUTY DIRECTOR FOR SCIENCE PROGRAMS
OFFICE OF SCIENCE

SUBJECT: USER PROJECTS/EXPERIMENTS DATABASE FOR THE
OFFICE OF SCIENCE USER FACILITIES

In FY 2015, the DOE Office of Science (SC) is creating a database of users and user projects/experiments¹ at SC user facilities, to be updated annually. An accompanying document provides guidance to the user facilities in their preparation of their submissions to this database.

In August 2013, SC issued the policy memorandum “Defining and Counting Users for the Office of Science User Facilities,” which created a consistent framework for the collection of user statistics across the SC user facilities. In April 2014, following an informal study of the SC User Facilities Working Group, we issued a data call to all SC user facilities in order to understand the implications of collecting information from each user facility to create a merged SC-wide corporate user statistics database. The April 2014 data call asked each facility to consider the ease/difficulty of reporting specific categories of information on each user project/experiment, to estimate the human resources required for such an undertaking, and to provide general feedback on the concept. All 31 user facilities responded. The results of the data call indicated that a corporate database of users and user projects/experiments is viable, but that there were specific decisions surrounding information collection and dissemination that required forethought. SC also undertook its own assessment of the privacy and data policy implications for creation of such a database.

The decision to create a user projects/experiments database is founded on a philosophy that SC should possess a balanced collection of information on both our grant recipient projects and our facility user projects/experiments. The SC user facilities are a public resource. A publicly-accessible SC user database has the potential to provide a richer snapshot beyond user totals, provide insights that benefit the management of user facilities, and enhance the transparency of a complex enterprise.

¹ Some user facilities apply the term “user project” to refer to the work undertaken under an accepted user proposal; others employ the term “user experiment.”



SC is committed to working with each of its user facilities to overcome any obstacles in creating a user projects/experiments database, and to upholding the principles underlying Federal privacy policy. The attached guidance has been crafted to address the feedback received from the user facilities and to fulfill our privacy policy goals.

ATTACHMENTS:

User Projects/Experiments Records Reporting Guidance, FY 2015
Reporting Request for FY 2013 and FY 2014 Data on User by Institution

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**DOE Office of Science User Facilities
User Projects/Experiments Records Reporting Guidance, FY 2015**

In FY 2015, the DOE Office of Science (SC) is creating a database of users of Office of Science user facilities, to be updated annually. The purpose of this document is to provide guidance in the user facilities' preparation of their submissions to this database. Because the data submissions from all user facilities will be concatenated together, adherence to this guidance is crucial to achievement of a self-consistent merged SC user projects/experiments database.

Notification to Users

Consistent with the views provided by many of the user facilities through the April 2014 data call, and in keeping with sustaining a relationship of trust between SC, the user facilities, and the users themselves, SC recommends that users be informed of the prospective public dissemination of FY 2015 user project/experiment information. Each user facility should notify its users that a limited set of information about them and their project will be transmitted to the Department of Energy, and that a subset of that information will become publicly available, as described below. You may wish to use or adapt this language:

Beginning in FY 2015, the U.S. Department of Energy Office of Science (SC), which is the primary sponsor of **[insert user facility name]**, will require that a limited set of information relating to your user project/experiment be transmitted to SC at the conclusion of the current fiscal year. A subset of this information, including your name, institutional affiliation(s), and project title(s), will be publically disseminated as part of an SC user facility user projects/experiments database on the SC website, <http://science.energy.gov>, after the conclusion of the fiscal year. For proprietary projects, SC requests that the user provide a project title that is suitable for public dissemination.

On the following pages you will find detailed description of the submission requirements and a list of Frequently Asked Questions. As we move forward together in this effort, we are committed to addressing any challenges that arise through candid communication. **If you have any questions, please contact Ben Brown at ben.brown@science.doe.gov or 301-903-7785.**

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Submission Requirements

Submission format:

Electronic file in Microsoft Excel or CSV format

Submission transmission/deadline:

Each user facility director should transmit their record of user projects/experiments for FY 2015 to the facility's sponsor program POC **as soon as practical after September 30, 2015, but no later than November 30, 2015.**

Record definition:

Consistency in reporting is an important goal. The total number of unique users listed in the database should conform with the number of users that your facility reports to your sponsor SC Program for publication in the Office of Science Congressional Budget Justification and other official materials.

Each record in the SC database is intended to describe one user's association with one project conducted in FY 2015. An individual user may be associated with multiple projects/experiments at the same user facility; conversely, multiple users may be associated with the same project/experiment. A user associated with a joint project/experiment at two user facilities should be listed twice, once per each user facility, in order for the database to be consistent with the reported user totals. (Please see the Excel spreadsheet that accompanies this document for a hypothetical example.)

Required record categories:

Below are descriptions of each of the required informational categories that should be included in each record:

record number

A simple counting index of the number of records in the submission.

User Facility

The name of the user facility.

project/experiment title

The title of the user project/experiment; ideally the title is the same or similar to the title of the accepted user proposal under which the project/experiment was granted access to facility resources. For large collaborations the title should be the same or similar to the collaboration's accepted proposal (i.e., it should be somewhat more specific than "the STAR collaboration"). For proprietary projects/experiments, care should be taken to report a title that is user-approved for public dissemination.

project/experiment type

(entry = *proprietary* or *non-proprietary*)

Select "proprietary" or "non-proprietary" as appropriate.

user primary source(s) of project/experiment support

(comma separated list)

A list of the major source(s) of support for the user in his/her undertaking of the project/experiment. Use of the FundRef Registry, a list of funding agencies and sources standardized by a consortium of

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journal publishers, is strongly encouraged (see http://www.crossref.org/fundref/fundref_registry.html).

user last name

The last name of the individual user.

user first name

The first name of the individual user. Inclusion of middle initial/name is optional.

user type

(entry = *On-site* or *Remote* or *Data*)

Select “On-site,” “Remote,” or “Data” user in accordance with the descriptions provided at http://science.energy.gov/~media/_pdf/user-facilities/SC_User_Statistics_Memorandum.pdf

user employment level

(entry = *Undergraduate student* or *Graduate student* or *Postdoctoral research associate* or *Faculty member/Professional staff/Research scientist* or *Retired/Self-employed* or *Other*)

Select one of the entry options above as appropriate.

user is a U.S. citizen?

(entry = *yes* or *no*)

Note: this information will not be made public due to privacy policy considerations.

home institution name

The institution that the user identifies as his/her primary employer or affiliation. A registry of institution names is in development. If a user holds a joint appointment, the entry should reflect that if possible.

home institution is a small business?

(entry = *yes* or *no*)

Select one of the entry options using the Small Business Administration’s definition.

home institution street address

The full street address of the home institution. May include ZIP/postal code.

home institution ZIP/postal code

It is useful to have the ZIP/postal code in a separate field. For U.S. institutions, ZIP+4 is preferred, but not required. Foreign country postal codes are useful, but not required.

Frequently Asked Questions

Q. My facility does not currently collect one or more of the required record categories. What should I do?

- A. SC expects that all user facilities will work to incorporate collection of the required categories as quickly as practical. If one or more categories will be added to your information collection systems part way through FY 2015, then it is acceptable for your end of year submission to reflect that.

Q. May I submit additional categories of information beyond the required categories?

- A. It is strongly preferred that only the required categories be submitted to headquarters. Inclusion of additional categories could invoke privacy policy considerations.

Q. My laboratory/facility information systems do not allow me to link user records and project/experiment records. What should I do?

- A. Our expectation is that these systems should be interlinked in order to trace users to accepted proposals; however, we welcome a discussion of the challenges and resources involved in achieving this goal.

Q. Must the project/experiment title be the same as the proposal title?

- A. Each facility should determine a sensible rationale for the collection of project/experiment titles. An advantage of utilizing the proposal title for the project/experiment title is the transparency of linking to the peer review access decision.

Q. How are the On-site/Remote/Data user categories defined? How is a user defined?

- A. Guidance on the definition of users is available on the SC user facilities website:
<http://science.energy.gov/user-facilities/>

Q. What if a user is a participant in more than one project/experiment?

- A. If a user is a participant in more than one project/experiment, the user should be listed multiple times in your submission, once for each project. In these circumstances the total number of users that you report will obviously not equal the number of records in your submission; however, a count of the unique user names in the submission should equal the total number of users that you report. Please see the Excel spreadsheet that accompanies this document for a hypothetical example. Note that Excel has simple filter functions that allow one to quickly produce a list of unique entries from a range of values.

Q. What if a user's employment status changes between the time of the proposal and the time of project start, or between the time of user registration and the time of project completion, for example?

- A. Each facility should strive to be self-consistent and sensible in the way that it seeks and records users' employment status; it is not SC's intention that a facility undertake user employment status tracking activities that are burdensome either to the user or the facility staff. Asking users to verify their user information on an annual basis is reasonable and acceptable from SC's perspective.

Q. May I revise my facility's submission?

- A. Data quality is a high priority; if you believe re-submission of your records in whole or in part is warranted for data assurance purposes, please contact your sponsor program POC to discuss.

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**DOE Office of Science User Facilities
Reporting Request for FY 2013 and FY 2014 Data on Users by Institution**

In order to establish a better understanding of the Office of Science (SC) user facilities enterprise in the near term we are issuing a one-time information reporting request to all SC user facilities. As described below, we are seeking aggregated user statistics information by institution for FY 2013 and FY 2014.

On the following pages you will find detailed description of the submission requirements. **If you have any questions, please contact Ben Brown at ben.brown@science.doe.gov or 301-903-7785.**

Industrial Users

The Department of Energy is piloting an industrial sector taxonomy for use in tracking and reporting of technology transfer and industrial engagement activities. We recognize that some industrial users of SC user facilities prefer that their user status not be disclosed. In these cases, we are requesting that you anonymize the institution name and simply provide the relevant industrial sector and ZIP code for the industrial user.

Submission Requirements

Submission format:

Electronic file in Microsoft Excel or CSV format, with FY 2013 and FY 2014 data in separate files, or separate worksheets within the same file. See the attached Excel template file.

Submission transmission/deadline:

Each user facility director should transmit their submission to the facility's sponsor program POC by **COB, Thursday, January 8, 2015**.

Record definition:

Consistency in reporting is an important goal. Ideally, the total number of users listed in your submission for each fiscal year should conform with the number of users that your facility reported to your sponsor SC Program for publication in the Office of Science Congressional Budget Justification and other official materials. If you would like to revise your official user totals for FY 2013 and FY 2014, please include this request in your submission.

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Required record categories:

Below are descriptions of each of the required informational categories that should be included in each record:

record number

A simple counting index of the number of records in the submission.

User Facility

The name of the user facility.

home institution name

The institution that the user identifies as his/her primary employer. A registry of institution names is in development. If a user holds a joint appointment, the entry should reflect that if possible.

home institution street address

The full street address of the home institution. May include ZIP/postal code.

home institution ZIP/postal code

It is useful to have the ZIP/postal code in a separate field. For U.S. institutions, ZIP+4 is preferred, but not required. Foreign country postal codes are useful, but not required.

home institution is a small business?

(entry = *yes* or *no*)

Select one of the entry options using the Small Business Administration's definition.

primary/secondary/other categories for industrial engagements

[Optional] If the institution is a private sector entity and you are unable to provide the institution's name due to non-disclosure restrictions, please provide the industrial sector using the provided taxonomy. Note: this taxonomy was developed for the annual DOE technology transfer data call and is being piloted in FY 2015.

number of users from that institution

The number of users from the institution for the fiscal year in question. If an institution has multiple locations or campuses, it is preferable, but not required, to list each location as a separate record.