

PHYSICS DIVISION PROCEDURE

Document Clearance

April 28, 2004

Physics Division Document Clearance Web Page

URL: https://www.phy.ornl.gov/paper_sub/InputData

1. Purpose

This procedure is designed to meet ORNL SBMS requirements for review of Scientific and Technical Information (STI) prior to publication. It provides requirements for division review and approval of STI intended for external distribution. The purpose of the division review is to ensure that both technical content and presentation are of the highest quality.

2. Scope

This procedure applies to all STI developed in the division for external distribution including STI to be posted on WWW servers.

3. References

3.1 SBMS Subject Area: Scientific & Technical Information

URL: <http://sbms.ornl.gov/sbms/sbmsearch/subjarea/STI/sa.cfm>.

3.2 Guidelines for Author Preparation of ORNL Reports, Quality Assurance Checklist,

URL: <http://home.ornl.gov/general/publications/checklist.shtml>.

3.3 Physics Division Publication Database Web Page

URL: http://www.phy.ornl.gov/paper_sub/InputData.

3.4 SBMS Subject Area: Web Content

URL: <http://sbms.ornl.gov/sbms/sbmsearch/subjarea/WebContent/sa.cfm>

3.5 SBMS Subject Area: Information Protection

URL: <http://sbms.ornl.gov/sbms/sbmsearch/subjarea/InfoProtect/sa.cfm>

4. Definitions

authorized derivative classifier – Person appointed by the ORNL Classification Officer to review documents in that person's area of technical expertise for classification.

approver – line manager of author. If the line manager is unavailable, or also a co-author of the document, then the approver is the next higher level line manager.

author – The principal ORNL writer of the document, often the first name appearing on the document author list.

Designated Unclassified Subject Area (DUSA) – if document subject area is in a DUSA, no classification review is required. At present, all Physics Division research is DUSA.

line manager – For the purposes of this procedure, a person serving as a task leader, group leader, or division director as listed on the latest version of the Physics Division Line Management Reporting chart (available in the division Office).

Physics Division Publication Database – an electronic database of bibliographic data and preprints of Physics Division STI publications. This review process is documented by authors, reviewers and approvers using this database.

reviewer – a qualified person selected by the author and approver to provide the required ORNL review of a document.

STI – Scientific and Technical Information.

Division STI Coordinator: A person appointed by the division director to manage the Physics Division Document Review Web site and database. This person will maintain the list of publications for the division, generate summary reports of publications as requested by the division director and other division staff, and oversee the posting of preprints on the Physics Division WWW page.

5. Requirements

5.1 The division director is ultimately responsible for all document review and approval within the Physics Division. The division director delegates this responsibility to the group leaders and task leaders.

5.2 The division director shall notify appropriate line management if the research may involve non-DUSA work and require an authorized derivative classifier review.

5.3 Bibliographic information, review approval and management approval of all Physics Division STI publications will be stored in the Physics Division Publication Database.

5.4 Records of publications will be maintained in the database for so long as the division director deems necessary. The database records will be shared with any ORNL-wide database, if and when it becomes available.

6. What to do

Ordinarily, the author or secretary will register the paper with the Physics Division Publication Database, complete with a PDF-format version of the paper. The names of the approver and reviewer should be entered at this time. When the paper registration is submitted, email notifications are sent. The author will be notified; when the author approves the submission, then the reviewer is notified; when the reviewer approves, then the approver is notified. The mail message with the notification will contain the URL which each should use to register approval. The actual approval process can take place before registration in the database. The database is used to record the approvals.

At the division level, a line manager of the author serves as the approver, and is the only signature authority required for document clearance. Line managers are also authorized to make DUSA and patent clearance decisions.

The division director has authority to change the approver for a document and require additional review if deemed necessary.

The review process should not exceed one working day in the case of abstracts and one week in the case of other documents. Should changes be required as a result of the internal review, all ORNL authors must be consulted before the signature of the approver is requested. Author submission of the paper to the approver is evidence of the co-authors' approval.

The term "paper" includes abstracts and other documents conveying STI for publication. Publication occurs by public distribution of a document, using traditional press, preprint distribution or posting on the Web. Web pages with STI content must be approved under this procedure. It is the author's responsibility to complete the review process before submission of the paper to external publication and to ensure that all approvals are recorded in the Physics Division Publication Database.

6.1 STI Documents for Journal or Conference Publication

6.1.1 The author and approver decide whether patentable material is involved. If patentable material is possibly involved, proceed with this procedure only after material is sent to Patent Office for review and decision.

6.1.2 The author and approver decide whether the material is DUSA. If not, the document must be cleared through an authorized derivative classifier. The author and approver determine if the material contains protected information. They may consult the SBMS Subject Areas: Information Protection and Scientific and Technical Information for more guidance.

6.1.3 The author and approver ensure that copyrighted material used in the document is properly authorized and acknowledged. Also, the paper must contain complete and correct acknowledgment of the sponsors funding the research.

6.1.4 The approver appoints a reviewer to review the technical content and quality of the paper. The author should suggest appropriate reviewers to the approver.

6.1.5 When the author has responded to the reviewer's comments, the reviewer approves the paper in response to the email from the Physics Publication Database.

6.1.6 If the author and reviewer cannot agree, the author can request that the approver appoint another reviewer. The approver has the discretion to choose the results of either review.

6.1.7 If review disagreements between the author and reviewer cannot be resolved, the conflict is raised to higher levels of line management until resolved and review process is completed.

6.1.8 Upon successful completion of internal review, the approver signifies approval in response to the email from the Physics Division Publication Database. The division STI coordinator releases the document to the database and the preprint server, if a PDF file is included. This completes the review by the division.

6.1.9 The author sends the document for publication.

6.1.10 When the document appears in published form, the author or author's secretary adds complete bibliographic information to the Physics Division Publication Database. If changes have been made in the external review process, the author or author's secretary posts a copy of the final version of the document

to the database.

6.2 Documents Originating Outside Physics Division

6.2.1 ORNL Authors should follow the review protocol for the institute controlling the review process.

6.2.2 A Physics Division internal review may be performed at the discretion of the primary ORNL author's line management, but ordinarily no internal review is required. Even if no review is required, the author and approver must ensure that proper acknowledgement of ORNL sponsors is included in the paper.

6.2.3 The ORNL author/author's secretary registers the document with the Physics Division Publication Database, and provides a PDF format copy, if possible.

6.3 Documents by Adjunct Staff

If ORNL is listed as first author's institute in the document, part 6.1 of this procedure is to be followed. If the author lists another institute, Section 6.2 of this procedure will be followed.

6.4 STI Information for Presentation on the WWW

Putting STI on the Web is the same as publishing it. Web documents which are registered in the Physics Division Publication Database should supply the HTML title in the "Title" field and the URL in the "Citation" journal name field.

6.4.1 Implement the same process as for Journal/ Conference publication 6.1.1 through 6.1.11.

6.4.2 For documents written in HTML, and not published in any other format, the author also follows the SBMS Subject Area: Web Content, to ensure conformance with applicable requirements for presentation and style.

6.4.3 The author arranges for publication on a Web server.