Scientific & Technical Publications Authorship and Review

BRIEF

Policy Summary

This policy describes the review of scientific and technical publications at Berkeley Lab. Employees will adhere to the highest ethical standards in their publishing, including those detailed in the University’s Statement of Ethical Values, especially in regards to the integrity and originality of work, and the recognition of the contributions of colleagues. See the policy on Scientific and Technical Publications Requirements for required publication information.

Who Should Read This Policy

This policy applies to all employees and affiliates involved in scientific or technical research.

To Read the Full Policy, Go To:

The POLICY tab on this wiki page

Contact Information

Research and Institutional Integrity Office
RIIO@lbl.gov
http://www.lbl.gov/Workplace/RIIO/

POLICY

A. Purpose

This policy describes the review of scientific and technical publications at Lawrence Berkeley National Laboratory (Berkeley Lab).

B. Persons Affected

This policy applies to employees and affiliates involved in the creation of scientific and technical information (STI).

C. Exceptions

The scope of this policy is STI created in the course of research. It does not include all other Laboratory Information.

D. Policy Statement

Berkeley Lab values the role of peer review in ensuring the integrity of scientific research. Researchers are expected to seek ongoing internal review of their work before publication. Employees will adhere to the highest ethical standards in their publishing, including those detailed in the...
University’s Statement of Ethical Values, especially in regards to the integrity and originality of work, and the recognition of the contributions of colleagues. Researchers must ensure that any information of a nonpublishable nature (such as that protected by human subjects research protocol or a nondisclosure agreement) is excluded from publication.

All publications must be reviewed within a division prior to submission, and before receiving a Berkeley Lab report number. Each division will ensure that (1) a reasonable scientific process has been followed, (2) the publication requirements in the Scientific and Technical Publications Requirements policy have been met, and (3) any other requirements indicated by the division director have been met. Divisional procedures must ensure that the review is fair and unbiased, and that freedom of scientific inquiry is not unfairly constrained.

See the policy on Scientific and Technical Publications Requirements for required publication information, including funding acknowledgments, submission information, and Berkeley Lab Report Coordination.

E. Roles and Responsibilities

All employees publishing the results of research conducted at or funded by Berkeley Lab have the responsibility to adhere to the provisions of this policy.

<table>
<thead>
<tr>
<th>Role</th>
<th>Responsibility</th>
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<tbody>
<tr>
<td>Division Director</td>
<td>Establishes process as necessary to ensure publications have followed a reasonable scientific process</td>
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<tr>
<td>Employee</td>
<td>Adheres to this policy and any specific process required by division management</td>
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<tr>
<td>IT Division</td>
<td>Assigns report numbers to publications, and ensures funding source is appropriately credited</td>
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F. Definitions/Acronyms

<table>
<thead>
<tr>
<th>Term</th>
<th>Definition</th>
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<tr>
<td>Scientific and Technical Information (STI)</td>
<td>Information products deemed by the originator to be useful beyond the originating site (i.e., intended to be published or disseminated), in any format or medium, which contain findings and technological innovations resulting from research and development (R&amp;D) efforts and scientific and technological work of scientists, researchers, and engineers, whether they are federal employees, contractors, or financial-assistance recipients. STI also conveys the results of demonstration and commercial application activities as well as experiments, observations, simulations, studies, and analyses.</td>
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G. Recordkeeping Requirements

None

H. Implementing Documents

None

I. Contact Information

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J. Revision History

<table>
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<tr>
<th>Date</th>
<th>Revision</th>
<th>By whom</th>
<th>Revision Description</th>
<th>Section(s) affected</th>
<th>Change Type</th>
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<tr>
<td>10/7/2013</td>
<td>0.1</td>
<td>M. Stoufer</td>
<td>Reviewed 10/3/13, no changes</td>
<td>next review date</td>
<td>Minor</td>
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<tr>
<td>5/18/2012</td>
<td>0</td>
<td>M. Stoufer</td>
<td>Re-write for wiki</td>
<td>all</td>
<td>Minor</td>
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Document Information

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Revision number: 0.1
Publication date: 10/7/2013
Effective date: 3/1/2011
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RPM Section (home): Information Management
RPM Section (cross-reference): Conduct of Research and Development
Functional Division: Research and Institutional Integrity Office
Prior reference information (optional): RPM Section 5.02

Source Requirements Documents

Contract 31, Clause H.16, Intellectual and Scientific Freedom

Implementing Documents

None