Scientific and Technical Publications Requirements

Brief

<table>
<thead>
<tr>
<th>Title:</th>
<th>Scientific and Technical Publications Requirements</th>
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<tbody>
<tr>
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<td>5/7/2012</td>
</tr>
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<td>Effective date:</td>
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BRIEF

Policy Summary

This policy describes Berkeley Lab requirements for the publication of scientific and technical information (STI).

Who Should Read This Policy

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

Information Technology Policy Manager
Information Technology Division
itpolicy@lbl.gov

Policy

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D. Policy Statement
D.1 Publication Submission Requirement
D.2 Credit Line, Author Affiliations, Copyright Notice, and Disclaimer Requirements

POLICY

A. Purpose

This policy establishes requirements that help to ensure:

- Open access to research conducted at Lawrence Berkeley National Laboratory (Berkeley Lab) and to encourage wide dissemination of research results
- Adherence to copyright obligations in the publication of research results
- The appropriate assignment of intellectual property rights

B. Persons Affected

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

C. Exceptions

The scope of this policy is scientific and technical information (STI) created in the course of research. It does not include all other Laboratory Information.
D. Policy Statement

D.1 Publication Submission Requirement

1. Purpose. The purpose of the publication submission requirement is to:
   a. Ensure that STI funded by the U.S. government or conducted at facilities funded by the U.S. government is made available for public access
   b. Review STI to ensure that copyright obligations are met
   c. Review STI for potential patents or other intellectual property

2. Requirement. Authors must submit STI to the Publications Office.

D.2 Credit Line, Author Affiliations, Copyright Notice, and Disclaimer Requirements

1. Publications must contain the appropriate credit line, author affiliations, disclaimers, and copyright notice.
2. Credit line. The credit line must include funding source(s), contract number(s), and any required acknowledgements from other funding sources. Examples of credit lines with DOE as the funding source:
   a. This work was supported by the Director, Office of Science, Office of Basic Energy Sciences, of the U.S. Department of Energy under Contract No. DE-AC02-05CH11231.
   b. This work was supported by the Assistant Secretary for Energy Efficiency and Renewable Energy, Office of Building Technology, State and Community Programs, of the U.S. Department of Energy under Contract No. DE-AC02-05CH11231.

3. Author affiliations. Publications must list authors and appropriate affiliations. Include both affiliations for authors with joint appointments with the University of California at Berkeley and Berkeley Lab.

4. Disclaimers. Publications must include the following disclaimer:
   a. This document was prepared as an account of work sponsored by the United States Government. While this document is believed to contain correct information, neither the United States Government nor any agency thereof, nor the Regents of the University of California, nor any of their employees, makes any warranty, express or implied, or assumes any legal responsibility for the accuracy, completeness, or usefulness of any information, apparatus, product, or process disclosed, or represents that its use would not infringe privately owned rights. Reference herein to any specific commercial product, process, or service by its trade name, trademark, manufacturer, or otherwise, does not necessarily constitute or imply its endorsement, recommendation, or favoring by the United States Government or any agency thereof, or the Regents of the University of California. The views and opinions of authors expressed herein do not necessarily state or reflect those of the United States Government or any agency thereof or the Regents of the University of California.

5. Copyright notice. Publication submissions must include the following copyright notice:
   a. This manuscript has been authored by an author at Lawrence Berkeley National Laboratory under Contract No. DE-AC02-05CH11231 with the U.S. Department of Energy. The U.S. Government retains, and the publisher, by accepting the article for publication, acknowledges, that the U.S. Government retains a non-exclusive, paid-up, irrevocable, world-wide license to publish or reproduce the published form of this manuscript, or allow others to do so, for U.S. Government purposes.

E. Roles and Responsibilities

Employees and affiliates are responsible for adhering to this policy.

F. Definitions/Acronyms

<table>
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<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

Information Technology Policy Manager
Information Technology Division
itpolicy@lbl.gov

J. Revision History

<table>
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<tr>
<th>Date</th>
<th>Revision</th>
<th>By whom</th>
<th>Revision Description</th>
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<td>Rewrite for wiki (policy)</td>
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<td>Minor Change</td>
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<td>J. Bonaguro</td>
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Document Information

**DOCUMENT INFORMATION**

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<tr>
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<td>RPM Section (home):</td>
<td>Information Management</td>
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<td>Prior reference information (optional):</td>
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Source Requirements Documents

- DOE O 241.1B, *Scientific and Technical Information Management*
  - Requires copyright notice
- Berkeley Lab Senior Management requirement** Requires disclaimer

Implementing Documents

None