LLE INSTRUCTION 3305D

SUBJECT: LLE ABSTRACT/PUBLICATION/CONFERENCE PRESENTATION REVIEW PROCEDURES

REFERENCE: a. DOE/UR Cooperative Agreement DE-NA0001944

1. Purpose: To formalize the procedure for the pre-submission review of all LLE abstracts, publications, and conference presentations.

2. Discussion:
   a. To ensure that all material published or presented by LLE researchers meets the highest scientific standards, the principal author of any abstract, paper, or presentation is responsible for ensuring that all co-authors have agreed to all of its content. Therefore, all such material must be circulated to all of the authors and their concurrence of the final form must be certified electronically or in writing to the Manager of the Publications and Design Department.
   
   b. Since LLE participates in the National Inertial Confinement Fusion Program, some members of the staff have security clearances and, accordingly, have access to classified information relative to nuclear weapons. While none of the work performed at LLE is classified and LLE creates no classified information, Reference (a) requires that all written material be reviewed for the inadvertent inclusion of classified information before dissemination. Therefore, all written material to be presented or published is reviewed by the Authorized Derivative Classifier prior to release.
   
   c. To protect intellectual property rights, novel inventions must be disclosed prior to publishing or presenting in a public forum. Normally a government sponsor requires that all publications be sent for review prior to publishing to ensure that their intellectual property rights are protected. Reference (a) allows LLE to publish without sponsor (DOE) review so long as LLE has all draft presentations and articles reviewed by a patent attorney in advance of release and disclosures submitted when novel inventions are identified. Therefore, all presentations and publications must complete this review process prior to release.

3. Procedure:
   a. All abstracts, journal articles, and conference presentations/proceedings based on LLE work funded in whole or in part by the DOE/UR Cooperative Agreement or grants assigned to LLE must be submitted by the authors to the Publications and Design Manager for classification/patent review at least 30 days prior to submission for publication or presentation unless earlier deadlines are specified by the Laboratory Director for larger conferences (i.e., Anomalous or APS). No manuscripts or abstracts may be released from the Laboratory until the review process is complete.
b. **Authors and Co-authors:**

The principal author will distribute a copy of the material to all co-authors with a copy to the Division Director of the principal and/or co-authors and to the Manager of Publications and Design.

Within three business days, the co-authors will reply:

1. The manuscript is acceptable, possibly with minor suggestions.
2. Significant suggestions are included; I wish to see it again. In this case, the principal and co-authors will jointly resolve any issues before the manuscript can be submitted. Recertification from paragraph 3c(1) may be required.
3. A co-author may request limited additional time to review the document.
4. If no reply is received within three business days, concurrence of a co-author is assumed.

The author and co-authors will iterate this process to produce an agreed upon final manuscript, including returning significant changes produced per paragraph 3c(2) to all co-authors for acceptance and recertification as needed and appropriate.

c. **Publications and Design:**

Upon receiving an abstract, journal article, or conference presentation/proceedings, Publications and Design will commence the review process: verify the acknowledgment; assign a control number; verify the concurrences of all authors to the final form; route to the applicable Division Director for review and signature; route to the Authorized Derivative Classifier for review and signature; forward the paper/presentation to LLE’s patent attorney for review; and enter the item into the Publication Tracking Database.

While an item is in the review process, Publications and Design is finalizing the text/graphics. When the review procedure is complete, authors will be notified to release their abstract/manuscript for publication or viewgraphs for presentation.

Word Processing will proof and edit the text for uniformity with LLE standards and journal requirements; verify references; enter them into the WP EndNote Reference Library; produce text and graphics for camera-ready manuscripts in coordination with Illustrations; and produce a final layout (both Mac- and PC-formatted texts are acceptable). Final versions of all manuscripts will be kept on permanent file.

Illustrations will prepare artwork and viewgraphs in conformance with LLE standards, place final versions of artwork on permanent file, and add them to the viewgraph database.

d. The University will pursue the submission of invention disclosures on the advice of LLE’s patent attorney. This will include:

1. If the inventor agrees that the invention is novel, an invention disclosure will be prepared by the inventor. (An invention disclosure is submitted electronically via the URVentures website [http://www.rochester.edu/ventures](http://www.rochester.edu/ventures).)
(2) The Administrative Division Director and Office of Technology Transfer (URVentures) will determine whether to pursue a patent or turn the invention over to the sponsor.

4. Responsibilities:
   a. **Author/Presenter:**
      (1) Submit all abstracts, journal articles, and conference presentations/proceedings to Publications and Design at least 30 days in advance of submission;
      (2) Distribute a copy of the material to all co-authors with a copy to the Division Director of the principal and/or co-authors and to the Manager of Publications and Design;
      (3) Assure all co-authors agree and provide written and/or electronic concurrence of the final form to the Manager of Publications and Design;
      (4) Prepare an invention disclosure when applicable.
   b. **Publications and Design:**
      (1) Process material for classification/patent review;
      (2) Prepare proofed manuscripts and other written material in accordance with LLE uniformity standards;
      (3) Maintain a file of all materials;
      (4) Prepare artwork in accordance with LLE standards;
      (5) Maintain a file of all artwork.
   d. **Administrative Division Director:**
      (1) Provide overall direction to ensure compliance with classification and intellectual property procedure;
      (2) Make a determination as to the pursuit of a patent for a novel invention or the turnover of the invention to the sponsor.

5. Approval:

John M. Schoen  
Administrative Director

Robert L. McCrory  
Director