

TEMPORARY CHANGE REQUEST

TCR NO. **TCR-GEN-031,R0-002**

(e.g., TCR-ENG-021,R0-001)

The Temporary Change Request (TCR) Form is to be used to process urgent or minor changes for PPPL Policies, Organization/Mission Statements and Procedures. The TCR should be used when changes are:

- 1) urgent, and can not wait the 2-4 week period for Department Head review/comment, or
- 2) minor, and do not warrant Department Head review.

Person Requesting Change: John DeLooper Phone Ext: 2701

Department Name: Best Practices and Outreach

Document Number: GEN-031 Revision No.: 0

Document Title: Publishing and Patent Clearance of Scientific and Technical Papers and Information

Reason for change:

Changes were made for 2 reasons:

1. To add requirement for reviewing whether documents contain classified information.
2. Updated URL links.

Change description: (Summarize and attach changed pages, with changes clearly indicated)

1. Added Step 7 to the Publication and Patent Clearance Form to include acknowledgment that documents were reviewed to determine if they contain classified information.
2. Updated several URL document links.

1. Does this TCR significantly alter the intent or scope of the document? YES: NO: X

2. Does this TCR significantly impact ES&H? YES: NO: X

If 1 or 2 is YES, Explain why the changes should not be routed for Department Head review:

Lew Meixler
Department/Division Head Approval

1/10/13
Date

John DeLooper
Head, Best Practices and Outreach/designee

1/9/13
Date

Release/Effective date of this TCR: 1/10/13

Incorporate this TCR into next revision of this document? YES: X NO:

PPPL	PRINCETON PLASMA PHYSICS LABORATORY	PROCEDURE		No. GEN-031 Rev 0 Page 1 of 7
		Subject:	Effective Date:	Initiated by:
Publishing and Patent Clearance of Scientific and Technical Papers and Information		August 10, 2011	Head, Best Practices	
		Supersedes NEW	Approved: Director	

Applicability

This procedure outlines the Laboratory's process for publishing scientific and technical papers, including obtaining DOE patent clearance of these papers and export control review per procedure MC-013, when applicable. This includes all conference papers; research papers; journal articles; and theses. Standalone posters, presentations, and abstracts are included if patentable material is referenced or presented or if there are export control considerations. This Procedure applies when these items are produced as a result of Work-For-Others (WFO) agreements; Cooperative Research And Developmental Agreements (CRADAs); work funded by the Department of Energy (DOE); or services by individual PPPL staff.

Introduction

All scientific and technical papers and information produced as a result of PPPL work, regardless of sponsor, must be reviewed prior to publication or presentation. Reviews include technical content, format and presentation, expected costs, and appropriateness of publication/presentation venues. In addition, publications and presentations produced as a result of DOE funded work must be submitted for patent clearance by DOE. This procedure describes the requirements and guidance for completing these reviews, for submitting the papers to publications and conferences, and for processing payments.

"Publication, Copyright, and Patent Clearance Information for Authors", which are general instructions and forms to guide authors through this process and procedure can be found online at: <http://www.pppl.gov//Information%20for%20Authors>. Questions regarding and interpretations of this procedure may be addressed with the PPPL Publication Officer.

Individual Departments/Projects may establish different means of accomplishing reviews and for approving and processing publication invoices. These could include delegating review authority and invoice approval among various individuals including Division Heads, administrative assistants, and/or Planning & Control Officers. Each Department/Project should communicate their specific requirements to their staffs. All Departments must consider export controls in their reviews (see Procedure MC-013).

This procedure is divided into the following sections:

- A. Preparation, Review, and Approvals of Abstracts, Papers, and Presentations**
- B. Arranging External Publication**
 1. PPPL Arranges Publication
 2. External Organization Arranges Publication
- C. Patent Clearance and Posting of Papers and Presentations**
- D. Payment of Publication Invoices**

Reference Documents

DOE Order 241.1B Scientific and Technical Information Management
 DOE Contract No. DE-AC02-09CH11466 Clause I.123-DEAR970.5227-2
 PPPL Procedure MC-013, Export Controls

Definitions

CRADA	Cooperative Research And Development Agreement
OSTI	DOE Office of Scientific and Technical Information
STI	Scientific and Technical Information
WFO	Work For Others Agreement

PROCEDURE**A. Preparation, Review, and Approvals of Abstracts, Papers, and Presentations****RESPONSIBILITY** **ACTION**

- | | |
|-----------------------------|---|
| PPPL 1 st Author | <ol style="list-style-type: none"> 1. Prepares Abstract/Paper/Presentation. 2. Determines if patentable material is referenced or presented or if there are export control considerations (MC-013). |
|-----------------------------|---|

NOTE: If standalone posters, presentations, and abstracts do not involve patentable material and do not have export control considerations, then STOP, the rest of this procedure does not apply.

- | | |
|--------------------------------------|--|
| PPPL 1 st Author | <ol style="list-style-type: none"> 3. Assures co-authors have reviewed and concurred with the content. 4. Assures peer and technical reviews are conducted. 5. Satisfies any collaboration rules of publication. 6. Prepares Publication and Patent Clearance Approval Form (Attachment 1), which is also available online at: http://www.pppl.gov/Information%20for%20Authors |
| Department/Project/
Division Head | <ol style="list-style-type: none"> 7. Reviews the Papers (and applicable presentations/abstracts) thoroughly; including scientific content, export control considerations, and quality of format and presentation. 8. Reviews and recommends publication method. 9. Approves release for publication and authorizes associated publication charges by signing the Publication and Patent Clearance Form. |

NOTE: Each Department or Major Project is responsible for

conducting these reviews. Implementation and delegation of reviews and approvals may vary among Departments / Projects, as long as the method complies with applicable PPPL policies / procedures including export controls, signature, and Accounting rules and is approved by the respective Department / Project Head.

PPPL 1st Author 10. Notifies each coauthor that the Paper (and applicable presentations/abstracts) will be submitted for publication/presentation.

PPPL 1st Author 11. Includes the following DOE Copyright Terms in, or with, all publications that were funded in part or in whole by the DOE (see Attachment 1):

Notice: This manuscript has been authored by Princeton University under Contract No. DE-AC02-09CH11466 with the U.S. Department of Energy. The publisher, by accepting the article for publication, acknowledges that the United States 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 United States Government purposes.

12. Sends the signed Publication and Patent Clearance Form to the Publications Office along with a PDF file of the manuscript.

13. Proceeds with Section B “Arranging External Publication” of this procedure if the Paper/presentations/abstract is to be published outside of PPPL; otherwise, skips to Section C. “Patent Clearance of Publications”.

B. Arranging External Publication

B.1 PPPL Arranges for Publication in a non-PPPL Publication

PPPL 1st Author 1. Contacts the publishing company and submits the manuscript, including the DOE Copyright Terms (see Attachment 3), to the publisher and informs the Publisher to submit invoices to PPPL Accounting, if possible, or to the author.

2. Sends any copyright agreement terms from a Publisher to the PPPL Publications Office for approval by the Head, Best Practices and Outreach Department.

3. Provides PPPL Publications Office with the manuscript number or Publisher ID number, citation information, and any updated or revised versions of the paper.

- Publishing Company 4. Publishes paper and sends billing/invoice to PPPL Accounting or Author.
- PPPL 1st Author 5. Proceeds with Section D. “Payment of Publication Invoices” of this procedure.

B.2 External Organization Arranges Publication (e.g., for conference proceedings or when publications are arranged by a collaborating institution)

- PPPL 1st Author
1. Submits the manuscript, including the DOE Copyright Terms, to the External Organization for publishing/presentation. [The copyright terms may be submitted as a separate page if desired (see Attachment 3) and do not have to be an integral part of the paper.]
 2. Sends any additional copyright agreement terms from the External Organization to the PPPL Publications Office for approval by the Head, Best Practices and Outreach Department.
 3. Provides PPPL Publications Office with the manuscript number or Publisher ID number, citation information, and any updated or revised versions of the paper.
- External Organization 4. Arranges publication of paper and notifies Author of details.
- PPPL 1st Author 5. Proceeds with Section D. “Payment of Publication Invoices” of this procedure.

C. Patent Clearance and Posting of Papers and Presentations

Publications associated with DOE funded work must be posted on the DOE OSTI website. All reports are typically published on the PPPL Technical Reports website. Publications associated with CRADA or WFO work will be posted in accordance with the terms of the agreement.

RESPONSIBILITY **ACTION**

PPPL Publications
Office

1. Receives the signed Publication and Patent Clearance Form and PDF file of the manuscript from the PPPL author.
2. Enters the paper/presentation in the PPPL Report Log and assigns a PPPL Report Number.
3. Checks to see if the Publication and Patent Clearance Form indicates that there is patentable material in the Paper/Presentation.

If Form indicates that the paper/presentation includes patentable material, checks to see if it is already included in the Invention Log.

AND

If the patentable material is not in the Invention Log, completes steps a. through e.:

- a. Notifies the author to fill out the DOE Record of Invention form and the Princeton University Invention Disclosure form.
- b. Assigns a PPPL M-number
- c. Contacts the Head of Technology Transfer, Patents, and Publications and assists in coordinating review of the forms and information by the Committee on Inventions.
- d. Sends completed invention forms to Princeton University Office of Technology Licensing and Intellectual Property, which may claim the patent for the University and provide a log number to the PPPL Publications Office, or submit it to DOE-Chicago Attorney's Office.
- e. Updates the PPPL Invention Disclosure Log with the Princeton University's log number.

- PPPL Publications Office
4. Submits DOE form "Request for Patent Clearance for Release of Unclassified Documents" to DOE-Chicago Attorney's Office.
 5. Posts the paper on PPPL Technical Reports website and on DOE OSTI website upon receiving the approved "Request for Patent Clearance for Release of Unclassified Documents" form from the DOE-CH Attorney's Office.
 6. Provides information on reports that have been posted on the PPPL Technical Reports website to the Head of Best Practices and Outreach for use in the PPPL weekly highlights and metrics.
 7. Enters or updates publication information in the PPPL Report Log, PPPL Technical Reports website, and OSTI website, as appropriate, after paper is published.

D. Payment of Publication Invoices

- PPPL 1st Author
1. Forwards any invoices from publishers promptly to PPPL Accounting for payment.

NOTE: If any electronic invoices are received for American Institute of Physics (AIP) publications and are billed by Copyright Clearance Center's RightsLink service, the author should login and download or print the invoice and forward to Accounting. It is okay to accept the online user agreement clauses – an exception from the indemnity clause for PPPL has been documented and is on file in PPPL Procurement.
- PPPL Accounting - Accounts Payable
2. Transmits Publisher's invoice to appropriate Planning & Control Officers for payment authorization.
 3. Transmits an information copy of the Publisher's invoice to PPPL Publications Office.
- Planning & Control Officer
Accounts Payable
4. Approves payment of publication invoice and provides cost center to Accounts Payable.
 5. Processes payment of the invoice.
- PPPL Publications Office
6. Ensures that the paper has received patent clearance and has been entered on the PPPL Reports and DOE OSTI websites per Sections D. of this procedure. If paper has not been patent cleared: notifies the Author and the Author's Department Head that the paper has been published, without required reviews and approvals; and follows-up with the Author to complete the patent clearance process per Section C. of this procedure.

Attachments

1. Typical - Publication and Patent Clearance Form with Directions, and Keyword List
-- the latest form is available in Microsoft Word and Adobe PDF format online at:
<http://www.pppl.gov/Information%20for%20Authors>
2. Flowchart – Publishing, Copyrighting, and Patent Clearing of Scientific and Technical Papers and Information
3. Typical – Publication Submittal Cover Page

PPPLPRINCETON PLASMA
PHYSICS LABORATORY**PROCEDURE**No. GEN - 031 Rev 0
page 1 of 4

**Typical - Publication and Patent Clearance Form with
Directions and Keyword List** [the latest form is available online
at: <http://www.pppl.gov/Information%20for%20Authors>]

Attachment 1

Princeton Plasma Physics Laboratory
Publication and Patent Clearance Approval Form

- AUTHOR INSTRUCTIONS:**
- (1) Complete items 1-7 of this Form and check-off the keywords and subjects on pages 3 and 4.
 (2) Obtain approval of Department or Division Head
 (3) Send the completed forms to Publications Office [LSB-358].
 (4) E-mail a PDF copy of the paper to: Publications@pppl.gov (5) Submit manuscript to publisher with [DOE copyright terms](#)
 (6) Instruct publisher to submit invoices to PPPL Accounting.
 (7) Provide publishers' copyright forms to the Publications Office for approval.
 (8) After publication, submit approved invoice to PPPL Accounting for payment.

Paper Presentation* Poster* Abstract*

*NOTE: Presentations/Posters/Abstracts only have to be submitted for clearance if they have patentable material.

1. TITLE:
2. AUTHOR: <i>I have notified each co-author and received their approval to publish this paper/presentation/poster.</i> 1st PPPL AUTHOR (print name): <i>(if not a PPPL employee, provide Institution Name, e-mail address, and name of a PPPL co-author):</i> AUTHOR Signature: _____ Date: _____
3. Patent Clearance <i>(Complete 3. Only if there is Patentable Information):</i> The invention described or referred to herein has been covered by an invention disclosure: Title of invention: Inventor(s): Invention Disclosure #: M- _____ Date: _____
4. Presentation/Conference: Name / Location / Date <i>where paper/presentation/poster will be presented:</i>
5. Journal/Publication/Proceedings and Publisher: Name: Date to be submitted:
6. Export Control: <i>Contact the Export Control Office (3393x) with questions or visit their website.</i> This paper/presentation/poster: <input type="checkbox"/> Yes - Involves export control issues. <input type="checkbox"/> No - Involves no export control issues.
7. Classification: <i>Is there reason that this document should be reviewed for classified information or ideas (e.g., deals with proliferation; weapons of mass destruction; special nuclear materials; weapons technology/systems; scientific, technological, or economic matters relating to national security; etc.)?</i> <input type="checkbox"/> No <input type="checkbox"/> Yes - Contact Site Protection for Review (x2899) OR Reviewed by Derivative Classifier Name: _____ Ref No.: _____
DIVISION/DEPARTMENT HEAD: <i>I concur with the author's declarations above, have reviewed the Paper/ Presentation/ Poster and approve the author's oral and/or written presentation of this material, and I approve any charges to be incurred in the dissemination of this report.</i> Printed name: Signature: _____ Date: _____
PUBLICATIONS OFFICE: PPPL Doc. Number: _____ Date received: Citation: Manuscript #:

PPPL	PRINCETON PLASMA PHYSICS LABORATORY	PROCEDURE	No. GEN - 031 Rev 0 page 2 of 4
Typical - Publication and Patent Clearance Form with Directions and Keyword List <i>[the latest form is available online at: http://www.pppl.gov/Information%20for%20Authors]</i>			Attachment 1

Publication and Patent Clearance Approval - Process and Directions

All scientific papers must be submitted to the PPPL Publications Office for recording with DOE and patent clearance processing if they resulted from work performed under the PPPL/DOE contract. No publications or reprints can be ordered unless the paper is patent cleared. Poster presentations need patent clearance ONLY if patentable material is referenced.

Before Publication or Public Presentation – and in accordance with contractual requirements – the following items must be reviewed by PPPL management and submitted to the PPPL Publications Office, which will submit to the Department of Energy:

- Posters/Presentations/Abstracts (ONLY if patentable material is referenced or presented);
- Conference, Research, Journal papers;
- Theses.

INSTRUCTIONS FOR AUTHORS/PRESENTERS:

I. Obtain Review and Approval

NO PUBLICATIONS OR PRESENTATIONS CAN BE AUTHORIZED WITHOUT DEPARTMENT APPROVAL AND DOE PATENT CLEARANCE PER THE FOLLOWING STEPS.

- A. Download the [Publication and Patent Clearance Approval Form](#).
 1. Complete items 1-7 of the Form
 2. Check off the keywords and subject on pages 3 and 4 of the Form that are associated with your paper or presentation.
 3. Obtain approval signature of the sponsoring Department or Division Head on the Form.
- B. Send the completed Form to the Publications Office [Room LSB-358]
- C. E-mail a PDF copy of the paper to: Publications@pppl.gov who will obtain DOE review and approval.

II. Submit Paper/Presentation

- A. Submit this Notice with manuscript or presentation (it does not have to be part of the paper):

DOE Copyright Notice:
“Notice: This manuscript has been authored by Princeton University under Contract Number DE-AC02-09CH11466 with the U.S. Department of Energy. The publisher, by accepting the article for publication acknowledges, that the United States 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 United States Government purposes.”
- B. Submit the manuscript/presentation to the publisher.
- C. Instruct the publisher to submit invoices to PPPL Accounting for payment.
- D. Send or bring publisher’s signed copyright forms to the Publications Office who will approve the copyright forms, return them to the publisher, and retain a copy on file.

III. Follow-up of Publication and Related Charges, Invoices, and Payments

If you receive any invoices, obtain the proper cost center charge number and cost center approval from your Department/Division Head or Planning & Control (P&C Officer), and submit the invoice to PPPL Accounting for payment.

PPPL Reports website

Manuscripts that have not been refereed or published will be posted to the PPPL TECHNICAL REPORTS website (<http://www.pppl.gov/techreports.cfm>). If the PPPL Report is created after the paper has been published, it will contain the published version, if the publisher is agreeable and no other manuscript has been submitted to the Publication Office. Any PPPL Report can be revised with an updated or replacement manuscript at the author’s request. If the paper is published in a journal or as conference proceedings, the PPPL website information is updated, and citation, copyright, and publisher information posted.

Posting on DOE Information Bridge

PPPL Reports are posted on the U.S. Department of Energy Office of Scientific and Technical Information (OSTI) “DOE Information Bridge”, which provides access of DOE laboratories’ research results to scientific communities, government officials, and the public.

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PPPL**PRINCETON PLASMA
PHYSICS LABORATORY****PROCEDURE****No. GEN - 031 Rev 0
page 3 of 4**

**Typical - Publication and Patent Clearance Form with
Directions and Keyword List** *[the latest form is available online
at: <http://www.pppl.gov/Information%20for%20Authors>]*

Attachment 1

**Publication and Patent Clearance Approval - Process and Directions
Princeton Plasma Physics Laboratory Subject Headings**

**Please Check Three Subject Headings for
Cataloging Report No. _____**

(Additional categories may be added at end of form.)

- | | | |
|---|---|--|
| <input type="checkbox"/> Absorption Coefficient | <input type="checkbox"/> Data Acquisition | <input type="checkbox"/> Fusion Power |
| <input type="checkbox"/> Acceleration | <input type="checkbox"/> Debye Length | <input type="checkbox"/> Fusion Reactions |
| <input type="checkbox"/> Accelerators | <input type="checkbox"/> Deuterium | <input type="checkbox"/> Fusion Reactions, Low |
| <input type="checkbox"/> Activation | <input type="checkbox"/> Deuterons | <input type="checkbox"/> Temperature |
| <input type="checkbox"/> Adiabatic Invariance | <input type="checkbox"/> Diagnostics | <input type="checkbox"/> Fusion Reactions, Muon Catalysis |
| <input type="checkbox"/> Advanced Fuels | <input type="checkbox"/> Diamagnetism | <input type="checkbox"/> Fusion Reactions, Heavy Ion |
| <input type="checkbox"/> Afterheat | <input type="checkbox"/> Dielectric Tensor | <input type="checkbox"/> Fusion Reactors |
| <input type="checkbox"/> Alfvén Waves | <input type="checkbox"/> Differential Equations | <input type="checkbox"/> Fusion Reactors, Design |
| <input type="checkbox"/> Alpha Particles | <input type="checkbox"/> Diffusion | <input type="checkbox"/> Fusion Reactors, Economics |
| <input type="checkbox"/> Antennas | <input type="checkbox"/> Diffusion, Ambipolar | <input type="checkbox"/> Gas Discharges |
| <input type="checkbox"/> Astrophysics | <input type="checkbox"/> Diffusion, Anomalous | <input type="checkbox"/> Geophysical Applications |
| <input type="checkbox"/> Atomic and Molecular Physics | <input type="checkbox"/> Diffusion, Bohm | <input type="checkbox"/> Getters |
| <input type="checkbox"/> Atomic Spectra | <input type="checkbox"/> Diffusion, Classical | <input type="checkbox"/> Guiding-center Approximations |
| <input type="checkbox"/> Automatic Control | <input type="checkbox"/> Diffusion, Magnetic Field | <input type="checkbox"/> Gyrokinetic Equations |
| <input type="checkbox"/> Automatic Data Control Systems | <input type="checkbox"/> Diffusion, Particle | <input type="checkbox"/> Hall Thruster |
| <input type="checkbox"/> Backscattering | <input type="checkbox"/> Disruptions | <input type="checkbox"/> Hamiltonian |
| <input type="checkbox"/> Ballooning Instabilities | <input type="checkbox"/> Distribution Functions | <input type="checkbox"/> Harmonics |
| <input type="checkbox"/> Beam Fusion | <input type="checkbox"/> Divertors | <input type="checkbox"/> Health Physics |
| <input type="checkbox"/> Beam Plasma Interactions | <input type="checkbox"/> Doctoral Dissertations | <input type="checkbox"/> Heat Exchange |
| <input type="checkbox"/> Beams, Electron | <input type="checkbox"/> Doppler Effect | <input type="checkbox"/> Heating |
| <input type="checkbox"/> Beams, Heavy Ion | <input type="checkbox"/> Dosimetry | <input type="checkbox"/> Heating, ECRH |
| <input type="checkbox"/> Beams, Light Ion | <input type="checkbox"/> Double Layers | <input type="checkbox"/> Heating, ICRF |
| <input type="checkbox"/> Beams, REB | <input type="checkbox"/> Drift Instability | <input type="checkbox"/> Helical Devices |
| <input type="checkbox"/> Blankets | <input type="checkbox"/> Drift Stability | <input type="checkbox"/> Helical Instability |
| <input type="checkbox"/> Boltzmann Theory | <input type="checkbox"/> Drift Waves | <input type="checkbox"/> Helium Helium Ash |
| <input type="checkbox"/> Bootstrap Current | <input type="checkbox"/> DT Plasma | <input type="checkbox"/> Helmholtz Instability |
| <input type="checkbox"/> Boundary Layers | <input type="checkbox"/> Dust Diagnostics | <input type="checkbox"/> High-beta Plasmas |
| <input type="checkbox"/> Boundary Value Problems | <input type="checkbox"/> Dust Particles | <input type="checkbox"/> H-mode Plasma Confinement |
| <input type="checkbox"/> Bremsstrahlung | <input type="checkbox"/> Eddy Currents | <input type="checkbox"/> Hose Instability |
| <input type="checkbox"/> Brillouin Effect | <input type="checkbox"/> Edge-localized Mode (ELM) | <input type="checkbox"/> Hybrids, Fusion-Fission |
| <input type="checkbox"/> Bump In Tail Instability | <input type="checkbox"/> Edge Plasma | <input type="checkbox"/> Hydrogen |
| <input type="checkbox"/> Ceramics | <input type="checkbox"/> Electric Field Effects | <input type="checkbox"/> Hydrogen Isotopes |
| <input type="checkbox"/> Chaos | <input type="checkbox"/> Electric Power | <input type="checkbox"/> Hydrogen Ions, One Minus Ignition |
| <input type="checkbox"/> Charge Exchange | <input type="checkbox"/> Electric Propulsion | <input type="checkbox"/> Impurities |
| <input type="checkbox"/> Charged Particles | <input type="checkbox"/> Electron Rings | <input type="checkbox"/> Inertial Confinement Fusion |
| <input type="checkbox"/> Coils | <input type="checkbox"/> Electronic Data Processing | <input type="checkbox"/> Injection |
| <input type="checkbox"/> Collisions | <input type="checkbox"/> Energy Balance | <input type="checkbox"/> Injection, Pellets |
| <input type="checkbox"/> Compact Toroids | <input type="checkbox"/> Energy Conversion | <input type="checkbox"/> Injection, Neutral Beam |
| <input type="checkbox"/> Compression | <input type="checkbox"/> Energy Resources | <input type="checkbox"/> Interferometry |
| <input type="checkbox"/> Compton Effect | <input type="checkbox"/> Energy Storage | <input type="checkbox"/> International Cooperation |
| <input type="checkbox"/> Computational Physics | <input type="checkbox"/> Energy Supply and Distribution | <input type="checkbox"/> Ion Acoustic Waves |
| <input type="checkbox"/> Computer Codes | <input type="checkbox"/> Environmental Effects | <input type="checkbox"/> Ion Cyclotron Waves |
| <input type="checkbox"/> Computer Programs | <input type="checkbox"/> Equilibrium | <input type="checkbox"/> Ion Heating |
| <input type="checkbox"/> Computer Simulation | <input type="checkbox"/> Equilibrium, MHD | <input type="checkbox"/> Ion Sources |
| <input type="checkbox"/> Confinement | <input type="checkbox"/> Equilibrium, MHD – Toroidal | <input type="checkbox"/> Ion Wave Instability |
| <input type="checkbox"/> Convection | <input type="checkbox"/> Fiber Optics | <input type="checkbox"/> Ionization and Recombination |
| <input type="checkbox"/> Coolants | <input type="checkbox"/> Field Reversed Configurations | <input type="checkbox"/> Kinetic Theory |
| <input type="checkbox"/> Cross Sections | <input type="checkbox"/> Finite Element Method | <input type="checkbox"/> Kink Instability |
| <input type="checkbox"/> Cryogenics | <input type="checkbox"/> Finite Larmor Effects | <input type="checkbox"/> Kortweg-Devries Equations |
| <input type="checkbox"/> Current Drive | <input type="checkbox"/> Fishbone Instability | <input type="checkbox"/> Laser Fusion |
| <input type="checkbox"/> Cusped Geometries | <input type="checkbox"/> Fission Reactors | <input type="checkbox"/> Laser Fusion, Targets |
| <input type="checkbox"/> Cyclotron Cones | <input type="checkbox"/> Fluctuations | <input type="checkbox"/> Laser Fusion Devices |
| <input type="checkbox"/> Cyclotron Instability | <input type="checkbox"/> Flute Instability | <input type="checkbox"/> Laser-plasma Interactions |
| <input type="checkbox"/> Cyclotron Resonance | <input type="checkbox"/> Flux | |
| | <input type="checkbox"/> Fueling | |

PPPL**PRINCETON PLASMA
PHYSICS LABORATORY****PROCEDURE****No. GEN - 031 Rev 0
page 4 of 4**

**Typical - Publication and Patent Clearance Form with
Directions and Keyword List** *[the latest form is available online
at: <http://www.pppl.gov/Information%20for%20Authors>]*

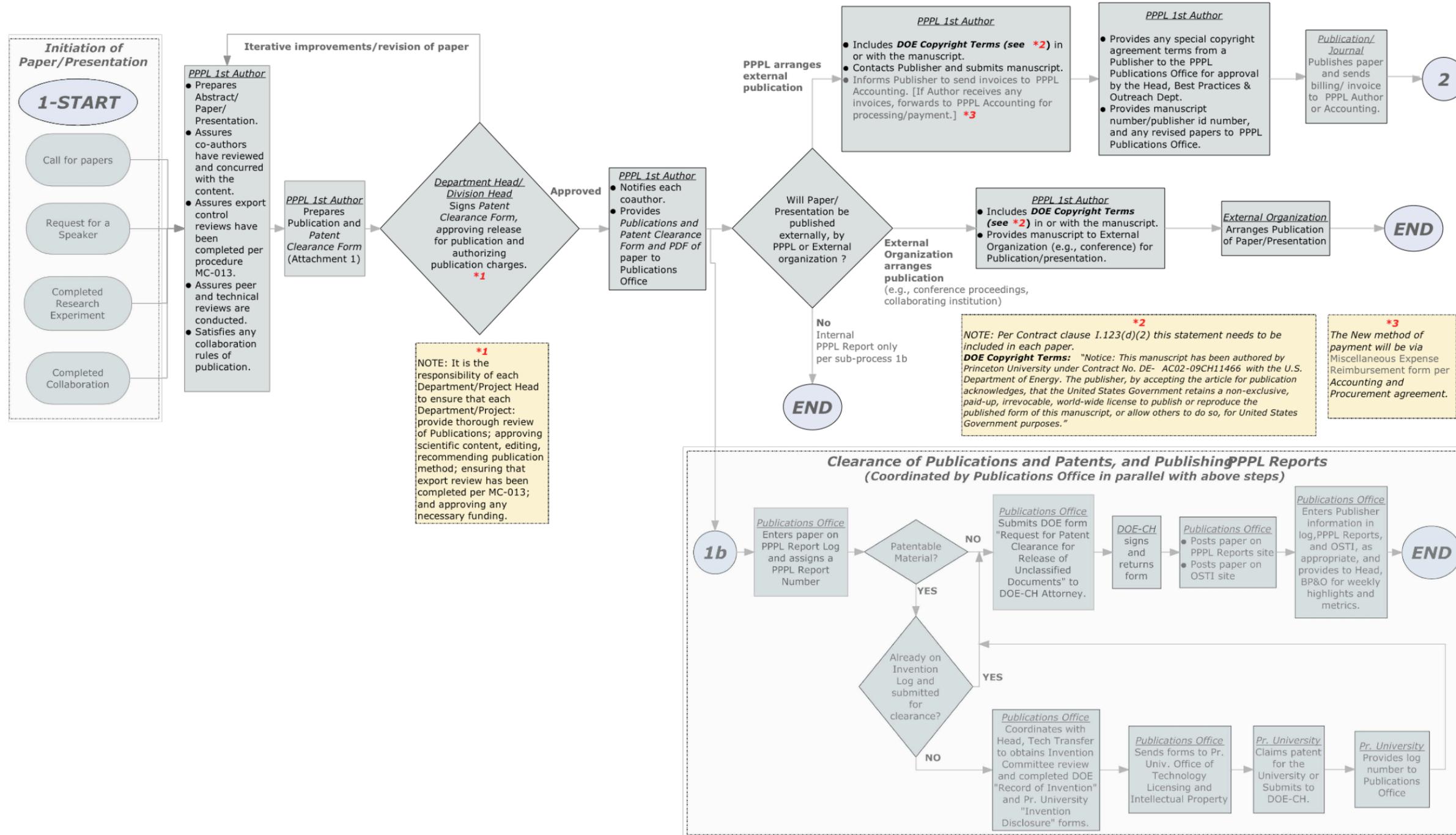
Attachment 1**Publication and Patent Clearance Approval - Process and Directions**

- | | | |
|---|--|--|
| <ul style="list-style-type: none"> <input type="checkbox"/> Laser-produced Plasma <input type="checkbox"/> Laser Spectroscopy <input type="checkbox"/> Lasers <input type="checkbox"/> Lasers, Fluorescence <input type="checkbox"/> Lasers, CO₂ <input type="checkbox"/> Lasers, Free Electron <input type="checkbox"/> Lasers, X-Rays <input type="checkbox"/> Lawson Criterion <input type="checkbox"/> Light Scattering <input type="checkbox"/> Limiters <input type="checkbox"/> Lithium <input type="checkbox"/> Loss Cone Instability <input type="checkbox"/> Lower Hybrid Waves <input type="checkbox"/> Magnetic Field Effects <input type="checkbox"/> Magnetic Fields <input type="checkbox"/> Magnetic Islands <input type="checkbox"/> Magnetic Mirrors <input type="checkbox"/> Magnetic Reconnection <input type="checkbox"/> Magnetic Surfaces <input type="checkbox"/> Magnetics <input type="checkbox"/> Magnetohydrodynamics (MHD) <input type="checkbox"/> Mapping <input type="checkbox"/> Masters Thesis <input type="checkbox"/> Materials <input type="checkbox"/> Materials, Effect of Radiation On <input type="checkbox"/> Mathematical Physics <input type="checkbox"/> Metals and Metallurgy <input type="checkbox"/> MHD Instability <input type="checkbox"/> Microwaves <input type="checkbox"/> Mode Conversion <input type="checkbox"/> Mode Coupling <input type="checkbox"/> Monte Carlo Methods <input type="checkbox"/> Multispecies Plasma <input type="checkbox"/> Neutral Beams <input type="checkbox"/> Neutronics <input type="checkbox"/> Neutrons <input type="checkbox"/> Next Step Fusion Devices <input type="checkbox"/> Noncircular Cross Sections <input type="checkbox"/> Nonlinear Effects <input type="checkbox"/> Nonlinear Theories <input type="checkbox"/> Nonneutral Plasmas <input type="checkbox"/> Nuclear Reactions <input type="checkbox"/> Numerical Methods <input type="checkbox"/> Numerical Simulation <input type="checkbox"/> Ohmic Heating <input type="checkbox"/> Optical Spectroscopy <input type="checkbox"/> Oscillations <input type="checkbox"/> Oscillations, High Frequency <input type="checkbox"/> Oscillations, Low Frequency <input type="checkbox"/> Oscillations, Nonlinear <input type="checkbox"/> Oscillations, Sawtooth | <ul style="list-style-type: none"> <input type="checkbox"/> Paramagnetic Instabilities <input type="checkbox"/> Partial Differential Equations <input type="checkbox"/> Particle Dynamics <input type="checkbox"/> Particle Dynamics, Belt <input type="checkbox"/> Particle Dynamics, Pellets <input type="checkbox"/> Pinch <input type="checkbox"/> Pinch, Theta <input type="checkbox"/> Pinch, Zeta <input type="checkbox"/> Plasma Column <input type="checkbox"/> Plasma Dynamics <input type="checkbox"/> Plasma Focus <input type="checkbox"/> Plasma-wall Interaction <input type="checkbox"/> Polarization <input type="checkbox"/> Ponderomotive Force <input type="checkbox"/> Positive Column <input type="checkbox"/> Power Plants <input type="checkbox"/> Probes (Electric, Magnetic) <input type="checkbox"/> Program Management <input type="checkbox"/> Progress Reports <input type="checkbox"/> Project Summaries <input type="checkbox"/> Prompt Gamma Radiation <input type="checkbox"/> Pulsed-fusion Reactors <input type="checkbox"/> Pumps <input type="checkbox"/> Quantum Mechanics <input type="checkbox"/> Quasilinear Theories <input type="checkbox"/> Radiation Detectors <input type="checkbox"/> Radiation Effects <input type="checkbox"/> Radiation Protection <input type="checkbox"/> Radiation, Cyclotron <input type="checkbox"/> Radiation, Regulations and Standards <input type="checkbox"/> Radioactivation <input type="checkbox"/> Radioactive Wastes <input type="checkbox"/> Ray Tracing <input type="checkbox"/> Rayleigh-Taylor Instability <input type="checkbox"/> Reconnection <input type="checkbox"/> Reflectometer <input type="checkbox"/> Relativistic Plasma <input type="checkbox"/> Reliability <input type="checkbox"/> Remote Handling <input type="checkbox"/> Research Devices <input type="checkbox"/> Research Devices <input type="checkbox"/> Resistive Instabilities <input type="checkbox"/> Resonance <input type="checkbox"/> Resonance Cones <input type="checkbox"/> Reversed Field Pinch <input type="checkbox"/> RF Heating <input type="checkbox"/> Ripple Effect Rotamak <input type="checkbox"/> Devices Rotating <input type="checkbox"/> Plasmas Runaway <input type="checkbox"/> Safety <input type="checkbox"/> Sausage Instability <input type="checkbox"/> Scaling Laws <input type="checkbox"/> Scoping Studies <input type="checkbox"/> Scrape-off Layer (SOL) <input type="checkbox"/> Shear <input type="checkbox"/> Sheath Shielding <input type="checkbox"/> Shock Waves | <ul style="list-style-type: none"> <input type="checkbox"/> Skin Effect <input type="checkbox"/> Solitons <input type="checkbox"/> Space Plasma Physics <input type="checkbox"/> Spectral Lines <input type="checkbox"/> Spheromaks <input type="checkbox"/> Spherical Torus <input type="checkbox"/> Spherical Tokamak <input type="checkbox"/> Stability, Ideal Hydromagnetic <input type="checkbox"/> Stability, Microinstability <input type="checkbox"/> Stabilization <input type="checkbox"/> Stabilization, Dynamic <input type="checkbox"/> Stabilization, Feedback <input type="checkbox"/> Steady-State Fusion Reactors <input type="checkbox"/> Stellarators <input type="checkbox"/> Stochasticity Supercomputers <input type="checkbox"/> Superconducting Magnets <input type="checkbox"/> Superconductivity <input type="checkbox"/> Surface Physics <input type="checkbox"/> Tandem Mirrors <input type="checkbox"/> Tearing Instability <input type="checkbox"/> Thomson Scattering <input type="checkbox"/> Tokamaks <input type="checkbox"/> Tokamaks, TFTR <input type="checkbox"/> Tokamaks, NSTX <input type="checkbox"/> Tomography <input type="checkbox"/> Transport Coefficients <input type="checkbox"/> Transport Equations <input type="checkbox"/> Transport Phenomena <input type="checkbox"/> Transport Theory <input type="checkbox"/> Trapped-particle Instability <input type="checkbox"/> Tritium <input type="checkbox"/> Tritons <input type="checkbox"/> Turbulence <input type="checkbox"/> Two-stream Instability <input type="checkbox"/> Upper Hybrid Waves <input type="checkbox"/> Vacuum <input type="checkbox"/> Vacuum, Degassing <input type="checkbox"/> Velocity <input type="checkbox"/> Viscosity <input type="checkbox"/> Vlasov Equation <input type="checkbox"/> Walls <input type="checkbox"/> Wave Absorption <input type="checkbox"/> Wave Coupling <input type="checkbox"/> Wave Damping <input type="checkbox"/> Wave Decay <input type="checkbox"/> Wave Excitation <input type="checkbox"/> Wave Interaction <input type="checkbox"/> Wave Interaction, Particles <input type="checkbox"/> Wave Interaction, Plasma <input type="checkbox"/> Wave Polarization <input type="checkbox"/> Wave Propagation <input type="checkbox"/> Wave Reflection <input type="checkbox"/> Wave Scattering <input type="checkbox"/> Waveguides <input type="checkbox"/> Whistler Waves <input type="checkbox"/> WKB Approximation <input type="checkbox"/> X-ray Spectroscopy <input type="checkbox"/> X-rays <input type="checkbox"/> X-rays, Soft <input type="checkbox"/> Other: |
|---|--|--|

PPPL	PRINCETON PLASMA PHYSICS LABORATORY	PROCEDURE	No. GEN - 031 Rev 0 page 1 of 2
	Flowchart – Publishing, Copyrighting, and Patent Clearing of Scientific and Technical Papers and Information		Attachment 2

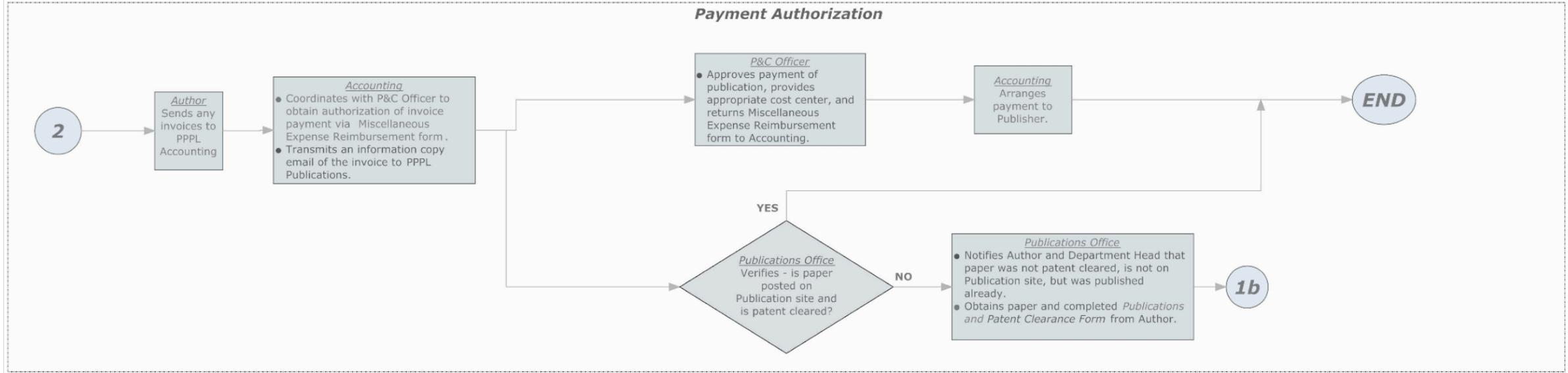
NOTE: This Attachment 2 should be printed on 11”x17” paper.

Publishing, Copyrighting, and Patent Clearing of Scientific and Technical Papers and Information - version 4/1/12-JBG



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...continued - Publishing, Copyrighting, and Patent Clearing of Scientific and Technical Papers and Information - version 4/1/12-JBG



RISKS Categorization and Mitigation:

Inadequate Scientific and editorial review - Poor reflection on Lab. Not published.

Low Risk - Low consequence severity, Moderate Probability

Control: Requirement to have Department Head review/approve papers.

Late or no copyright logged - loss of copyrights, violation of contract clause I.123(d)(2).

Low Risk - Low consequence severity, Moderate Probability

Control: Requirement for Researcher to send papers to Publications Office for entry into OSTI and PPPL Publications. Accounting sends invoice copies to Publications Office. Publications Office verifies and ensures paper posted on web and patent cleared. Author, Department Head, and Head of BP&O notified of noncompliances.

No patent application or invention disclosure on file - loss of patent rights after 1-year. Others can use the invention without compensation. Violation of contract clause I.129.

Low Risk - Low consequence, Low Probability

Control: Requirement for Researcher to send papers to Publications Office for patent clearance review. Accounting sends invoice copies to Publications Office. Publications Office verifies and ensures paper posted on web and patent cleared. Department Head, and Head of BP&O notified of noncompliances.

Papers not entered in OSTI database - Scientific information not shared with others. Credit for publication not counted in annual report card/performance assessment. Non-compliance with DOE Order.

Low to Moderate Risk - Low consequence severity, Moderate Probability

Control: Requirement for Researcher to send papers to Publications Office. Patent Clearance Form states this requirement. Accounting sends invoice copies to Publications Office. Publications Office verifies and ensures paper posted on web and patent cleared. Department Head, and Head of BP&O notified of noncompliances.

Paper not posted on PPPL Publications site - scientific information not shared with others. Credit for publication not counted in annual report card/performance assessment.

Low Risk - Low consequence severity, Moderate Probability

Control: Requirement for Researcher to send papers to Publications Office. Patent Clearance Form states this requirement. Accounting sends invoice copies to Publications Office. Publications Office verifies and ensures paper posted on web and patent cleared. Department Head, and Head of BP&O notified of noncompliances. This could result in late postings, but this practice common now.

Lab Funds committed without approval - Authors could arrange publications without necessary Division/Department Head approval or Procurement authorization.

Low Risk - Moderate consequence severity, Low Probability

Control: Requirement for author to get Division/Department Head approval on the Patent Clearance Form prior to publishing. Accounting pays only when approved Miscellaneous Reimbursement form is received.

Release of export controlled technology - authors share information in publications or presentations without having proper export control reviews, resulting in unauthorized release of inappropriate information.

Low risk. Moderate to high consequence severity, Low Probability.

Control: PPPL does not accept restricted research funding. Requirement that author get Department/Division Head approval prior to publishing; export control awareness training; export control review procedure MC-013.

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Typical – Publication Submittal Cover Page			Attachment 3

“Title”

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Contact Email address
Date

Notice:

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