

Advanced Photon Source

POLICY & PROCEDURE	Page 1 of 6
ICMS Content ID:	APS_1432637
DNS #:	APS-PPR-ADM-000-A022-000026
Revision #:	5
Issue Date:	6/25/24
Review Period:	2 years
Supersedes:	Rev. 4, 6/22/22
Last Reviewed:	6/25/24

APS PUBLICATION POLICY & PROCEDURE

Changes made in this revision:

- Removed S. Davey as an author
- Replaced R. Fenner with J. Skwarek as a reviewer; replaced Y. Woell with J. Henning as a reviewer
- Updated table in Section 5

Prepared by:

Chris Gorman, AES

Anita Garcia, ASD

Jude Kitching, XSD

Reviewed by:

J. Skwarek, PSC

J. Henning, BIS

Approved by:

XSD/Division Director

AES/Division Director

ASD/Division Director

APS-U Project Director

PSC/Deputy ALD-X-ray Science

PSC/Deputy ALD-Operations

Table of Contents

1.	INTRODUCTION.....	3
2.	POLICY	3
3.	PROCEDURE	4
3.1.	Approval to Submit for Publication	4
3.2.	Copyright Release Form	4
3.3.	Finalizing Publication Information.....	5
4.	REFERENCES.....	5
5.	DOCUMENTS/RECORDS CREATED BY THIS PROCEDURE	5
6.	FEEDBACK AND IMPROVEMENT.....	6

APS PUBLICATION POLICY & PROCEDURE

1. INTRODUCTION

Scientific and technical information (STI) is the information product intended to be published or disseminated, in any format or medium, which contain findings and technological innovations resulting from experimentation and technical R&D efforts. For the purposes of this Policy & Procedure, STI includes journal articles, technical reports, scientific/technical conference papers, presentations, and proceedings, presentations not associated with conferences, theses and dissertations, magazine and newsletter articles, e-prints, videos, patents, and datasets communicated in various formats. (Refer to DOE Order DOE O 241.1B¹ and Argonne Policy SCITECH-1² for more complete definitions of STI.)

2. POLICY

While DOE¹ and Argonne² are committed to the open exchange of information, certain types of information may not be freely disseminated. All STI products of the Laboratory are required to be entered into the Argonne Publication Approval Notification and Distribution Application (PANDA) and reviewed/approved by internal reviewers, Division management, and the Laboratory (e.g., Legal Department and Research Library) before submittal for publication or release outside Argonne.²

PANDA is used to 1) manage the pre-publication review process and 2) establish the permanent institutional record of STI products.

If you are an APS employee and you are listed as a (co)author on STI that is authored at Argonne and is to be published, you are responsible for ensuring that the STI metadata has been entered into and approved for release through PANDA prior to publication.

If you are an APS employee and you are listed as a (co)author on STI that is not authored at Argonne and is to be published, regardless of where it originates, you are responsible for ensuring that the STI metadata has been entered into PANDA.

This policy is the local implementation of DOE and Laboratory requirements and applies to all groups at the APS and is not Division specific.

3. PROCEDURE

3.1. Approval to Submit for Publication

The Argonne (co)author:

- a. Completes an APS Publication Clearance Form ([APS 1693052](#)), which is available in ICMS or on the [APS Forms & Templates](#) webpage.
- b. Emails copies of the completed form and the STI (excluding videos and datasets) to the group's administrative assistant.

The administrative assistant:

- a. Enters the information from the APS Publication Clearance Form into PANDA and uploads the STI (excluding videos and datasets) into PANDA.
- b. If required, adds internal reviewer(s) to the PANDA record and waits for PANDA-generated email notification that the internal review is complete.
- c. Emails the APT number to the Argonne (co)author and notifies her/him that the PANDA form is ready for their completion, review, and submission. (The APT number is a PANDA-generated, document-specific index number.)
- d. Emails the APS Publication Clearance Form with the APT # and the STI (excluding videos and datasets) to the APS Publications Database administrator (apspubs@aps.anl.gov).

The Argonne (co)author accesses the record in PANDA and:

- a. Verifies the information entered by the administrative assistant.
- b. Completes any remaining required fields such as funding sources, intellectual property, permitted access to the publication, etc. ("Unresolved" items are listed in red on the PANDA pages).
- c. Submits (via the "Submit" button) the completed PANDA form.

Division Director (or delegate) receives a PANDA-generated email notification to approve final content in PANDA.

Lab reviews/approves release – includes legal/IP reviews.

Upon PANDA-generated email notification of approval, the submitting (co)author forwards the manuscript to the publisher or releases the material outside of Argonne.

3.2. Copyright Release Form

External publishers typically require, as a condition of publication, that Argonne transfer copyright to them. Publishers usually send a copyright transfer agreement directly to the (co)author. Argonne authors have no legal right to enter into contract about copyright.³ If

the Argonne (co)author receives a copyright release form, the (co)author is to email the unsigned agreement (including the title and author list) to: panda-help@anl.gov. A signed agreement, including Laboratory requirements and licenses, will be returned to the (co)author to forward to the publisher.

3.3. Finalizing Publication Information

- a. When accepted for publication, the (co)author sends the publisher's accepted manuscript (PAM) to the administrative assistant for uploading to the original PANDA record.
- b. When the (co)author is notified that the manuscript has been published, the (co)author will send the citation information (volume, issue, pages, date, DOI) to the APS Publications Database administrator (apspubs@aps.anl.gov) and the administrative assistant, who will enter the citation information in PANDA.

If the manuscript was not cleared through PANDA prior to publication, the publication metadata and a copy of the manuscript must still be entered into PANDA.

4. REFERENCES

¹Scientific and Technical Information Management, [DOE Order 241.1B Chg 1](#)

²Argonne [Scientific and Technical Publications Procedures](#)

³[SCITECH-8 Material Published Externally](#)

5. DOCUMENTS/RECORDS CREATED BY THIS PROCEDURE

The documents/records listed below will be created in the execution of this procedure and must be retained as indicated.

Description of Document/Record	Custodian	Storage Location and Medium	Retention Requirement
PANDA submission	BIS-Argonne Research Library	Digital Document Location: PANDA	Retain: PERM RD 1, rev 2, B(9)(a) Permanent Record
APS Publication Clearance Form	Group Administrative Assistant	Digital Document	Retain: TEMP GRS 5.2, item 020 180 days after PANDA entry

6. FEEDBACK AND IMPROVEMENT

If you are using this procedure and have comments or suggested improvements for it, please go to the [APS Policies and Procedures Comment Form](#)* to submit your input to a Procedure Administrator. If you are reviewing this procedure in workflow, your input must be entered in the comment box when you approve or reject the procedure.

Instructions for execution-time modifications to a policy/procedure can be found in the following document: Field Modification of APS Policy/Procedure ([APS_1408152](#)).

* <https://www.aps.anl.gov/Document-Central/APS-Policies-and-Procedures-Comment-Form>