DIII-D National Fusion Facility Guidance Document	**Title:** Review Process for Research Products	
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	Distribution: Public	

REVISION HISTORY

Rev.	Date	Description
A	11/20/2023	Initial release
B	11/04/2025	Clarification added regarding document types, co-author requirements, and publication charges. Minor text additions for clarity. Updated Appendix 2.

Table of Contents

ACRONYMS

Acronym	Description
APS	American Physical Society
DOE	U.S. Department of Energy
EPIC	Energy Publications and International Coordination
FES	U.S. Department of Energy, Office of Science, Fusion Energy Sciences
GA	General Atomics
IAEA FEC	International Atomic Energy Agency, Fusion Energy Conference
OSTI	U.S. Department of Energy, Office of Scientific and Technical Information
TBD	To Be Determined
VP	Vice-president

GLOSSARY

Term	Description
Check Copy	Version of a research product that is approved for submission to the publishing entity. The Check Copy is provided to the First Author (or Contact author, if applicable) at the conclusion of the review process.
DIII-D User	Any person participating in research activities of the DIII-D National Fusion Facility program, following completion of all required registration/onboarding tasks to receive access.
Document	Printed or electronic record. Used to describe a variety of records and reports. Documents uploaded to the tracker vary in length in type, e.g., abstracts, conference or journal papers, technical reports.
Intended for Publication	Research Product prepared with the intention to make the document available to the public. This includes via publication either in print or online, or otherwise made available publicly, or referenced in publishable materials.
OSTI	One of the U.S. Department of Energy offices to which DIII-D is required to submit scientific and technical information emanating from DOE research and development activities. Found online at https://www.osti.gov/
Publications Tracker	A web-based system for managing the review process of controlled documents produced within the Magnetic Fusion Energy division of General Atomics, including all items produced within the DIII-D National Fusion Facility program. Access is provided to all DIII-D Users, available at https://nike.gat.com/app/publications/tracker/table
Recipient or Intended Recipient	Also known as 'submit to recipient', represents the designated journal, conference, or other entity to which a document is submitted following the completion of a review process. In the Publications Tracker, it is listed in the “Submit to” field.
Research Group	One of the primary organizational units of the Research program, from which all other organizational units are defined.
Research Products	Public-facing communications that convey DIII-D research results or scientific contributions. Items include, but are not limited to, journal publications, highlights, press releases, conference abstracts, white papers, and workshop/community inputs.
Review	Any reference to a research product review, full review, etc. refers to the singular process described within this Guidance Document (GD). This is clarified in relation to pre-GD historical approaches that included various tiers of review that are no longer supported, e.g., Courtesy Review is not allowed.

Term	Description
Topical Area	Organizational unit of the Research Program that is found under the Research Groups.
Full Manuscript	Full length document typically prepared for the purpose of submitting to a Conference or Journal, i.e., Conference or Journal Paper.

1. PURPOSE AND SCOPE

This guidance document is intended to provide DIII-D Users with the information necessary to process research products through the facility's review process.

Issues surrounding the creation and dissemination of DIII-D research products are incredibly important to the functioning of the program. DIII-D operates as a User Facility within the U.S. Department of Energy, Office of Science, and is therefore expected to produce -high-quality research products of meaningful impact toward advancing fusion science and technology and the development of fusion energy. In addition, the program is subject to requirements for reporting all research products that are output.

Documentation related to the use of the Publications Tracker is provided separately and listed in Section 2.1.

This document is intended to provide specific guidance applicable to the dissemination of research products *intended for publication* resulting from participation in the DIII-D program. When stated, these requirements apply to all DIII-D team members regardless of the particular policies of their home or employing institution. If home or employing institution's policies conflict with these DIII-D requirements, then it is the responsibility of the individual to seek assistance from the DIII-D program, including the DOE DIII-D Program Manager.

Research products must first complete the review process described within this guidance document before they can be submitted for consideration for publication (see Section 4.4).

2. REFERENCE DOCUMENTS

- **Publications Tracker Documentation**

  Documentation accessible to all DIII-D Users concerning how to use the Publications Tracker is located at https://nike.gat.com/app/publications/documentation/doc-home

- **Required Acknowledgments and Disclaimers**

  Detailed guidance regarding required acknowledgments and disclaimers is located at,

  DIII-D Hub > EPIC > Program Acknowledgments required for research products

- **Frequently Asked Questions**

  A compilation of Frequently Asked Questions (FAQs) can be found in Appendix 2 of this document.

- **APS Guidelines for Professional Conduct**

  The APS website provides standards of ethical behavior relating to several critical aspects of the physics profession (https://www.aps.org/policy/statements/02_2.cfm).

3. ROLES AND RESPONSIBILITIES

This section describes the roles and responsibilities of assorted personnel as it relates to DIII-D research product review and dissemination. Full details are provided in the Publications Tracker Documentation referenced in Section 2.1.

- **EPIC Manager**

  A GA employee, this person oversees the Energy Publications and International Coordination (EPIC) Department, establishes department practices in accordance with Company policy and manages department workload. Performs coordinator/editor tasks for complex or special projects.

- **EPIC Coordinator (Coordinator or Editor)**

  A GA employee, this person assists authors and reviewers with the approval and review process. Completes all documentation required to obtain approval for distribution of documents according to company policy and contract requirements. The EPIC Coordinator also provides assistance with editing

and formatting of documents. After the review process is completed, follows proper reporting requirements (e.g., OSTI uploading).

- **First Author**

The First author, also referred to as lead or main, is responsible for uploading their document to the Publications Tracker, entering all the required information into the tracker input form, communicating with co-authors, confirming the document complies with review guidelines, addressing reviewer comments, submitting the Check Copy to the appropriate conference or journal, and providing post-submittal information by entering the relevant dates directly into the Publications Tracker as well as uploading the Accepted and Published versions of their documents. First authors are also responsible to communicate with the reviewers and follow up when necessary.

In the event an author does not have access to the Publications Tracker and is not able to obtain web account for access, their name may be listed as the “First Author” and must obtain the assistance of a “Contact Author” with tracker access to act on their behalf.

- **Contact Author**

An individual acting on behalf of the First Author, often when the first author does not have access to the Publications Tracker. The vast majority of First Authors should have accounts for the Publications Tracker and handle the review process directly. A Contact Author may be preferred in instances for which the First Author has no association with the DIII-D program, e.g., when the research product is a multi-facility output and the First Author had no engagement with DIII-D because all DIII-D contributions were handled by the Contact Author. When agreeing to be a Contact Author for an author with no tracker access, the Contact Author accepts all the responsibilities of a First Author and will communicate directly with the First Author whenever action is needed.

- **Co-author**

Co-authors are all authors named as contributing authors on the document. A co-author also shares responsibility and accountability of the research outcome.

- **Peer Commenter (or Peer Author)**

Any author with Publications Tracker access who uses the “Peer Comment” options to provide input directly on the Publications Tracker entry. Peers are able to comment on papers in the Publications Tracker at any stage; their comments are visible to reviewers and the author. Peer Comments do not affect the review process flow, but are valuable to improve the quality of the document.

- **Reviewers**

The roles and responsibilities for Reviewers are defined under this section. For each reviewer role, a main reviewer is assigned, as well as one or more delegates.

  - **Technical (Tech) Reviewer**

    Performs the first-level review in the Publications Tracker. This Reviewer is the appropriate technical lead within the topical area or group that sources the output, e.g., group leader for Plasma Control or Neutral Beams. Responsible for reviewing detailed technical information. Ensures that the output has been consulted with the relevant research group (from Science or Operations teams) and that authorship is appropriate. Ensures that output is written to a high-quality standard that is well-structured and clear to readers.

    This stage represents the primary and most significant stage of review and should cover both technical and quality points. It provides an opportunity for area leaders to ensure they are satisfied with the quality of work done in their program.

The Technical Reviewer will check to ensure that:

- Technical correctness of the data and scientific deductions made (noting that the above stage should already have looked at these issues, so this is about ensuring conclusions reached are logically reflected). The reviewer should usually be aware of such discussions having taken place, or ask the author (noting authors are expected to discuss results with peers prior to submitting journal papers).
- That appropriate peer review of the main results, statements and conclusions has been undertaken (this is not to impose a particular DIII-D position on the conclusions, but to ensure factual accuracy, avoid pitfalls in data, and that arguments are well worked out and founded).
- Suitable referencing of previous work, context and motivation are provided.
- Suitable citations and acknowledgements of credits for modeling codes and credits for diagnostics have been provided (See Required Acknowledgments and Disclaimers referenced in Section 2).
- Relevant co-authors have been included who specifically contributed to the work (see APS guidelines referenced in Section 2).
- That objectives and conclusions are clearly articulated, and defendable.
- Where appropriate provide advice on scope extension – for example if a particular issue needs checking, or more generally to make a stronger paper.
- That quality of writing is of a high standard (grammar, logic, structure). A point here is that it is acceptable to raise concerns on this point without providing detailed technical corrections, which the author can pursue with their co-authors or supervisor.
- If the document has not been confirmed as checked with co-authors or supervisor (click “Full Document Information” to see), or if no physics area review of the underlying claims has been held prior to submission, the technical reviewer may return the document to the author to conduct these stages, prior to technical review.
- If the technical reviewer is a significant author, they may feel conflicted. As an internal reviewer, your role and incentive is to make the document better, so it does better. We recommend you only delegate your reviewing responsibilities if you have been so closely involved you feel you cannot conduct an objective evaluation of the work and do not have sufficient perspective to evaluate the logic or the text.

- **Division (Div) Reviewer**

Performs the second-level review in the Publications Tracker. This Reviewer is typically a Research Area leader or division leader such as the Research Director or Director of Operations. Takes a high level overview of the main conclusions, structure and quality. Ensures that suggestions from Tech Review and any Peer Review have been considered. Identifies, to the best of their knowledge, any conflicts with other DIII-D outputs that may diminish the clarity or impact of this research product. Identifies any concerns that warrant further consideration before the output is published. **At completion of this stage, the Division Reviewer should be confident that the material is suitable for release (or will be after a final upload by the author).**

The Division Reviewer will check to ensure that:

- Primary conclusions - are they well stated and supported, with accomplishments clearly called out, particularly in the abstract and conclusions. It can be presumed that technical review has correctly validated the technical accuracy of statements made.
- Is high level motivation and context well described in the introduction?
- Does referencing in the introduction reflect well earlier relevant work in the field and supports assertions made?
- Principle results obtained - are they right? are primary claims well supported by the results?

- Are the significance and implications of the work explained?
- Should some comment about further work and remaining issues in the conclusions?
- General standard of writing and advise on how to craft a better document.
- Any previous serious issues raised by earlier reviewers (though it can be considered that previous reviewers approval constitutes resolution, unless specifically flagged).

- **Vice-President (VP) Reviewer**

Performs the third-level review in the Publications Tracker. This Reviewer is typically the DIII-D Director, and VP-level approval is contractually required for all DIII-D outputs that are publicly distributed. Ensures that previous comments and suggestions have been considered, and an appropriate iteration process has ensued. Serves as a final point of quality and technical review but is not expected to provide an in-depth technical assessment. The VP is not required to read and analyze the document directly (though can choose to do so), and can make these assessments through consideration of the review process executed and satisfactory resolution by technical and division level reviews.

Prior to this stage, the document should already be fully checked and optimized, and in a state ready for submission. The VP Reviewer will check to ensure that:

- The publication does not disclose any institutional proprietary data.
- Appropriate procedures have been followed for review of the document.

The VP Reviewer may check various more detailed issues of the document, according to their awareness of the issues and developments in the field. Typical aspects that may be explored include:

- Scientific validity and logic of arguments assembled.
- Whether previous issues raised (in this review process or more generally) have been satisfactorily addressed.
- Advise on how to craft a better document.
- Whether logic, argument and conclusions emerge with sufficient clarity and prominence.

It should be noted that documents reaching the VP Reviewer level should already be presumed to fully meet quality and technical correctness standards, as approved at Division Level.

- **Customer (DOE) Reviewer**

The DIII-D program is required to provide all research products to the DOE DIII-D Program Manager for review. In the Publications Tracker, the satisfaction of this requirement is documented through the Customer Review assigned to the appropriate DOE representative, this review is part of the Compliance Review.

- **Contracts Reviewer**

Performs the final review in the Publications Tracker as part of the Compliance review. Ensures that all the required acknowledgment and disclaimer language is included in the reviewed version of the document in accordance with the DIII-D program requirements assigned by DOE.

- **Reviewer Delegate**

Reviewer selected to act as an alternate reviewer, possessing the same technical expertise as the main reviewer. All Reviewers in the Publications Tracker are able to select delegates as needed.

The use of review delegates is encouraged for the sake of completing thorough reviews in a timely manner.

3.1. Timeframes, Delegation, and Escalation

3.1.1. For Reviewers

- **Expected Review Period:** Reviewers are expected to provide comments within one week (or five business days) of receiving notification the document is ready for their review.
- **Delegation:** If a reviewer is unable to complete the review within the expected timeframe (e.g., due to travel, workload, or leave), they should either:
  - Delegate the review to a Reviewer Delegate, or
  - Notify the EPIC coordinator immediately so an alternate reviewer can be assigned.
- **Escalation:** If no response is received within the expected timeframe, the EPIC coordinator will escalate to DIII-D Management after five business days.

3.1.2. For Authors

Authors should plan their submissions at least three weeks in advance for abstracts and five weeks for full papers to allow for the review process. These timelines are estimates and can be extended by revisions, reviewer comments, or a high volume of submissions, especially during major conferences.

- **Incorporating Feedback:** Authors are expected to address all reviewer comments and resubmit their revised draft within one week (five business days). Should the required revisions be extensive, authors should notify the EPIC Coordinator.
- **Escalation:** Authors are responsible for actively participating during the review process and ensuring timely follow-up on their research products. It is essential that authors prepare revisions in accordance with any established due dates. If no due date is specified, authors should still communicate regularly to avoid delays. Additionally, authors must promptly inform the EPIC Coordinator of any changes to due dates or anticipated delays in providing revisions to ensure the process remains on track.
- **Urgent Reviews:** Authors may request an expedited review if they need a document reviewed sooner than the typical timeframe. However, please note that there is no guarantee that late submissions will be reviewed before their due date. When requesting an expedited review, authors must:
  - provide the requested due date,
  - indicate the request for expedite review in the author comments with the submission, and
  - communicate with Tech, Div and VP reviewers.

4. PROCESS DESCRIPTION

The review process described herein typically requires at least five weeks to complete. Authors must consider the duration of this review process in their publication planning.

4.1. DOCUMENT REQUIREMENTS.

Documents submitted to the Publications Tracker for review must be the full document to be published, even in instances where only portions of the document contain DIII-D data/information. Submitting authors may use the initial submission comment field to clarify which sections contain specific DIII-D information, including previously unpublished data.

4.1.1. Document Types

A list of document types is found in Table 1. This categorization clarifies the audience and level of technical details that the reviewers should expect for this submission. Only document types used

by the DIII-D program are included in this table. Other document types may be found in the Publications Tracker due to its use by other programs.

Document Type	Description	EPIC Support
Abstract	Abstracts being submitted to be made publicly available. On-line access without a password is considered publicly available.	Yes
Conference Paper	A document written with the goal of being submitted to a conference. Conference papers may also be published by the conference as proceedings.	Yes
Conference Paper for Journal	A document written with the goal of being submitted to a conference, and later published in a special edition of a journal.	Yes
Deliverable	A document/report for FES per contract requirements, e.g., quarterly reports.	Yes
DIII-D Milestone	A DIII-D deliverable with administrative-specific requirements.	Yes
Highlights	A short item on a specific topic with the purpose of informing on relevant events. The majority of these are submitted for the DOE Office of Science for public release.	Yes
Internal Document	Document created for view and/or distribution within the author's immediate organization only (e.g., DIII-D group, Theory, etc.) and will not made publicly available.	No
Journal Paper	Document written with the purpose of being submitted to a publisher for inclusion in a Journal (including online-only access).	Yes
Miniprop Public Abstract	Summary of a mini-proposal (MP) that is intended for display on the public DIII-D website. These are created by the author(s) during the Mini-proposal process and automatically submitted for review from the MP system.	No
Newsletter Content	Document written with the purpose of being submitted to company or external organization's newsletter.	Yes
Oral Presentations for Web Posting	Document being presented via a presentation, and may be made available in online public source(s).	Yes
Peer Review	Document seeking input by author peers and/or topic experts, not for distribution to external source(s).	No
Poster for Web Posting	Document being presented in poster form, and may be made available in online public source(s).	Yes
Press Release	Document reporting specific, but brief, information making an announcement or providing information for the purpose of being released to the news media.	Yes
Prospectus	Document seeking internal approval for a future submission, e.g., a proposed IAEA FEC invited talk. Not for public release.	No
Synopsis	A summary or overview, typically with the purpose of selection to write a full- length paper; for public release.	Yes
Thesis or Dissertation	A long form document or dissertation prepared by a student as part of a degree requirement. These are often published by the academic institution and are expected to be publicly available.	Yes
White Paper	Unofficial informational proposal; for public release.	Yes

Table 1: List of document types for submission to the Publications Tracker.

Note: *The "EPIC Support" column indicates whether support is being received from the EPIC team. When EPIC support is not received, authors and reviewers are fully responsible for all edits, follow up, and any other tasks required to complete the review process. Document types with no EPIC support are not authorized to be released to the public, published in any way, or referenced in publishable materials.*

4.1.2. Acknowledgment and Disclaimer

- **Acknowledgment:** Per DIII-D agreement, all documents must contain an acknowledgment listing the DIII-D contract number, as well as any other applicable contracts.
    - Abstract: Abbreviated Acknowledgment
    - All other documents: Full Acknowledgment
- **Disclaimer:** A full Disclaimer is required all document types, except for Abstracts.

  Note: Detailed guidance regarding required acknowledgments and disclaimers is located at, DIII-Hub > EPIC > Program Acknowledgments required for research products

4.1.3. Statement regarding Data Availability:

When requested by the Journal, the following data availability statement may be added to the document: "The data that support the findings of this study are available from the corresponding author upon reasonable request."

4.2. PRE-REVIEW REQUIREMENTS

Before uploading a document for review to the Publications Tracker, authors must first review and consider the following:

4.2.1. Determining Whether a DIII-D Review is Required

A DIII-D review is required if any program resources (data or other) were used to prepare the research product. This includes, but is not limited to, labor from the DIII-D team or DIII-D computing resources. If DIII-D program resources were used to produce the result of the publication, then the DIII-D award number must be acknowledged (see Section 4.1.2.), and a full review is required.

4.2.2. Confirmation of non-Sensitive Information

Documents submitted for review under the DIII-D program should not contain any potentially sensitive information (e.g., proprietary, patent, or financial). Prior to submitting the document for review, authors are responsible to ensure their document complies with this requirement.

4.2.3. Topical Areas

Topical Areas are used to determine the appropriate reviewers based on their level of experience and expertise. Once the review process has started, the topical area *cannot* be changed. The topical area determines the approval path, including the reviewers and generation of automated notifications. Selecting the correct topical area ensures notifications are received properly, it also assists in determining expertise required to perform the review.

Because the Topical Area cannot be changed, authors are encouraged to confirm their topical area is the appropriate one prior to adding their document to the Publications Tracker for review.

All DIII-D research products must be reviewed in a DIII-D Topical Area. The eligible DIII-D Topical Areas will always begin with the characters "DIII-D," e.g., DIII-D Science: FPP Scenarios.

4.2.4. "Submit to"

The "Submit to" field indicates the intended recipient of the document (e.g., journal, conference). Once the review process has started, it cannot be changed. If the document's original "submit to" information changes, the document must be re-submitted to the Publications Tracker for review. If

the intended recipient is not on the pre-populated list, authors have the option to select “conference not listed” and add the information. When this option is selected, the new information is reviewed and updated as needed.

4.2.5. Complete Draft Document

Authors should submit for review a finalized draft, suitable for technical review.

Additionally, the entire document must be submitted for review even in instances where only a portion or chapter of the document contains DIII-D data.

4.2.6. Co-author Review

Part of the review process concerns confirming authorship and ensuring acknowledgement of the appropriate funding sources.

When adding a tracker entry for review, authors are expected to add all their co-authors on the tracker entry, or up to 25 names if more than 25 co-authors. The full list must be included in the uploaded document subject to review.

Adding co-authors at the time of the initial tracker entry allows the Publications Tracker system to send a notification to the listed co-authors. Co-authors may or may not have access to the Publications Tracker. It is the first author’s responsibility to consult with all their co-authors prior to submitting documents to the Publications Tracker, and to provide copies of their document if requested.

Note: For documents requiring anonymous submission, all coauthors must still be added to the tracker entry, and an additional coversheet listing all author names added to the uploaded document for review purposes. Once the review process is completed, the additional coversheet may be omitted at the time of submission to meet journal or conference requirements

4.3. PROCESS FLOW

The Author can refer to the flow on Appendix 1: Publications Approval Flowchart as a guide that describes the necessary steps to complete the review process of the document, as well as the responsible person that is assigned to each task. It is important the Author knows these steps, as well as identify when to take action in order to avoid the document approval process being delayed or stopped.

Once the Author has the First Complete Draft Document and has confirmed it meets the requirements mentioned in Sections 4.1 and 4.2, the Author will proceed to create an Entry in the Tracker. See the Publications Tracker Documents in Section 2.1 for step-by-step instructions on creating, uploading the document and managing the Publications Tracker. Once the entry is created the Author is required to confirm the Compliance Acknowledgment, which pops up in a dialog box when creating the entry.

To start the review process, the author must complete all the information required on the tracker entry form, select “Yes” under the “Review Readiness” section, and upload the document to the Publications Tracker. All these steps must be completed for the review process to begin.

4.4. REVIEW PROCESS DESCRIPTION

For purposes of the DIII-D program, documents submitted to the Publications Tracker for review are intended for publication and do not contain sensitive information (e.g., financials, proprietary information, etc.). The full review process must be completed before an author is authorized to submit their document to the intended recipient.

4.4.1. Technical Review

Consists of a three-level technical review based on the selected topical area: Technical Review, Division Review, and VP Review.

4.4.1.1. Review Types (or Review Status) and Actions Required:

- **Accepted**

  Description: The reviewer has approved the document as written. Minor comments for author consideration may be added by the reviewer but no author response is required. This option clears current review level and moves the review to the next step (Tech to Div, VP to Customer, etc.) without any reservations.

  Action Required: None, review process will move forward to the next level.

- **Accepted with Edits: Response Required**

  Description: Reviewer has conditionally approved the document. Minor changes or a response by the author providing clarification is required. Review will continue only after a new document is uploaded or a response is provided by the author without further reviewer approval needed.

  Action Required: Author only. A new document upload or response to reviewer comments must be performed by the author. Review process will move forward after author's action.

- **Not Accepted: Edits Required**

  Description: Significant changes are required. A new document fully addressing reviewer comments must be uploaded by the author. Upon new document upload, a re-review will be performed. Review will continue only after the reviewer uses an "Accepted" review option.

  Action Required: Author and Reviewer. After a new document is uploaded by the author, a re-review is required. Review process will move forward after a re-review is performed and an "accepted" option is selected by the reviewer.

- **Not Accepted: Come Chat**

  Description: Significant changes are required and further discussion with the reviewer is necessary. Upon new document upload, a re-review will be performed. Review will continue only after the reviewer uses an "Accepted" review option.

  Action Required: Author and Reviewer. After consulting with the reviewer and a new document is uploaded by the author, a re-review is required. Review process will move forward after a re-review is performed and an "accepted" option is selected by the reviewer.

- **Rejected**

  Description: Rejected. Not accepted, not ready for review process.

  Action Required: Author and Reviewer. Author may be asked to re-write and resubmit. After consulting with the reviewer and a new document is uploaded by the author, a re-review is required. Review process will move forward after a re-review is performed and an "accepted" option is selected by the reviewer. Alternatively, the review process may be cancelled, and a new tracker entry may be added at a later time.

4.4.2. Compliance Review

Following the Technical Review approval, the document follows a Compliance Review, this refers to the review of documents by the Company and/or customer authorities prior to their distribution (submittal to conference, journal, etc.). The assigned EPIC Coordinator performs a review of the requirements and creates the necessary documentation for compliance review. DIII-D products for publication typically require review by DOE and/or GA Contracts. A Check Copy will not be issued until the specific requirements and approvals are confirmed by the EPIC Coordinator. Upon Compliance Review approval, the assigned Coordinator creates the approved Check Copy.

4.4.2.1. Compliance Review Status and Actions Required

- **Accepted**

  Description: Document has been approved and will move forward to the next step in the review process**.**

  Action Required: None, review process will move forward to the next level. A check copy will be issued after all compliance requirements have been fulfilled.

- **Rejected**

  Description: A Compliance Reviewer has identified an issue with compliance requirements and rejected**.**

  Action Required: Action by author, Coordinator or both. Document has been rejected by the Compliance reviewer. The assigned EPIC coordinator may require author assistance to address reviewer comments. Review process will move forward after a re-review is performed and the compliance reviewer has selected “Accepted.”

4.4.3. Check Copy

Following the Compliance Review, the Check Copy will be issued by the EPIC Coordinator. The Check Copy confirms completion of the review process and is the document approved for submission. All the information in the Check Copy, including any acknowledgments and disclaimers must remain in the document submitted to the conference or journal.

4.4.3.1. Check Copy Corrections

A revised Check Copy might be issued to address minor changes after the original Check Copy was created and before the author submits to the intended recipient. If a minor change is necessary, the Author must contact the assigned Coordinator and a revised check copy will be uploaded to the Publications Tracker

- Minor changes: Changes made to correct grammatical errors, typos, standardize formatting, etc. If a minor change is necessary after a check copy has been issued, the Author must contact the assigned Coordinator, and a revised check copy will be uploaded to the Publications Tracker.
- Significant changes: Changes that may affect the overall argument, conclusions, or data presented. Significant changes must be resubmitted to the tracker for a full re-review. This does not include changes made in response to a referee or peer review process led by the recipient journal, conference or other entity.

4.4.4. Submission to “Submit to” Intended Recipient (Journal, Conference, etc.)

It is the author’s responsibility to deliver the document to the intended recipient (e.g., Journal, Conference, Customer, etc.). Delivery methods may change based on the recipients’ requirements, but typically requires direct upload by the author. The Check Copy may only be delivered to the recipient as listed on the tracker entry under the “Submit to” field.

4.5. POST-REVIEW INFORMATION AND DOCUMENTATION

After the review process has been completed and a Check Copy has been issued, the author will be required to provide additional information.

4.5.1. Post-Submission Information

Because authors are responsible to submit their documents directly to the intended recipient (conference, journal, etc.), they are also required to update the Publications Tracker with the information related to their submission. Authors must provide the date when their document was submitted to the Recipient. When applicable, author must also provide the date their document was

Accepted for Publication and the Published date. This information is necessary to generate reports and to comply with many contract requirements. These reports are submitted annually and must accurately represent the published output of the facility during that time period.

4.5.2. Rejection and/or Resubmittal of Papers to a Different Journal or Conference

In some cases, a document may not be accepted for publication by the intended Journal or Conference. In that case the Author may decide if the document will go to another recipient, if that is the decision, the Author must create a new entry in the Publications Tracker for review and align to the new Recipient's requirements. The Author should reference the previous tracker entry in their Author comment as this will allow the reviewers to have knowledge of a previous Reviewed Document and may assist in the new review process.

If the Author's decision is to not pursue any other recipient, the Author must notify the EPIC Coordinator of the decision, so the EPIC Coordinator can close the process.

4.5.3. Copyright Form

Copyright transfer is a standard requirement by publishers, and this is taken into account during the review process. Authors may complete and sign the required copyright forms as long as their document has completed review under the DIII-D program.

4.5.4. Permission to Use Figures

Typically required at the time of submission to a journal, authors may need to obtain permission to use figures. Requirements can vary, authors should first inquire directly with the journal where the paper is being submitted.

4.5.5. Changes during the Journal Review Process

Minor editorial changes intended to provide clarification and/or improve readability are typically performed during the Journal review process and are expected as part of the Journal review and approval process.

4.5.6. Accepted Version

For Journal papers, it is required that the author uploads to the Publications Tracker the Journal Accepted version of their paper (the official Accepted version of their manuscript). If no official Accepted version exists, the author may provide the latest version of their document prior to receiving notification of the paper acceptance. This version is required to be used by the EPIC Coordinator to fulfil contract reporting requirements, such as OSTI.

4.5.7. Publication Charges

When requesting payment for publication charges by the DIII-D program, authors must ensure the post-submission information has been updated and the Accepted and Published versions of their document have been uploaded to the Publications tracker.

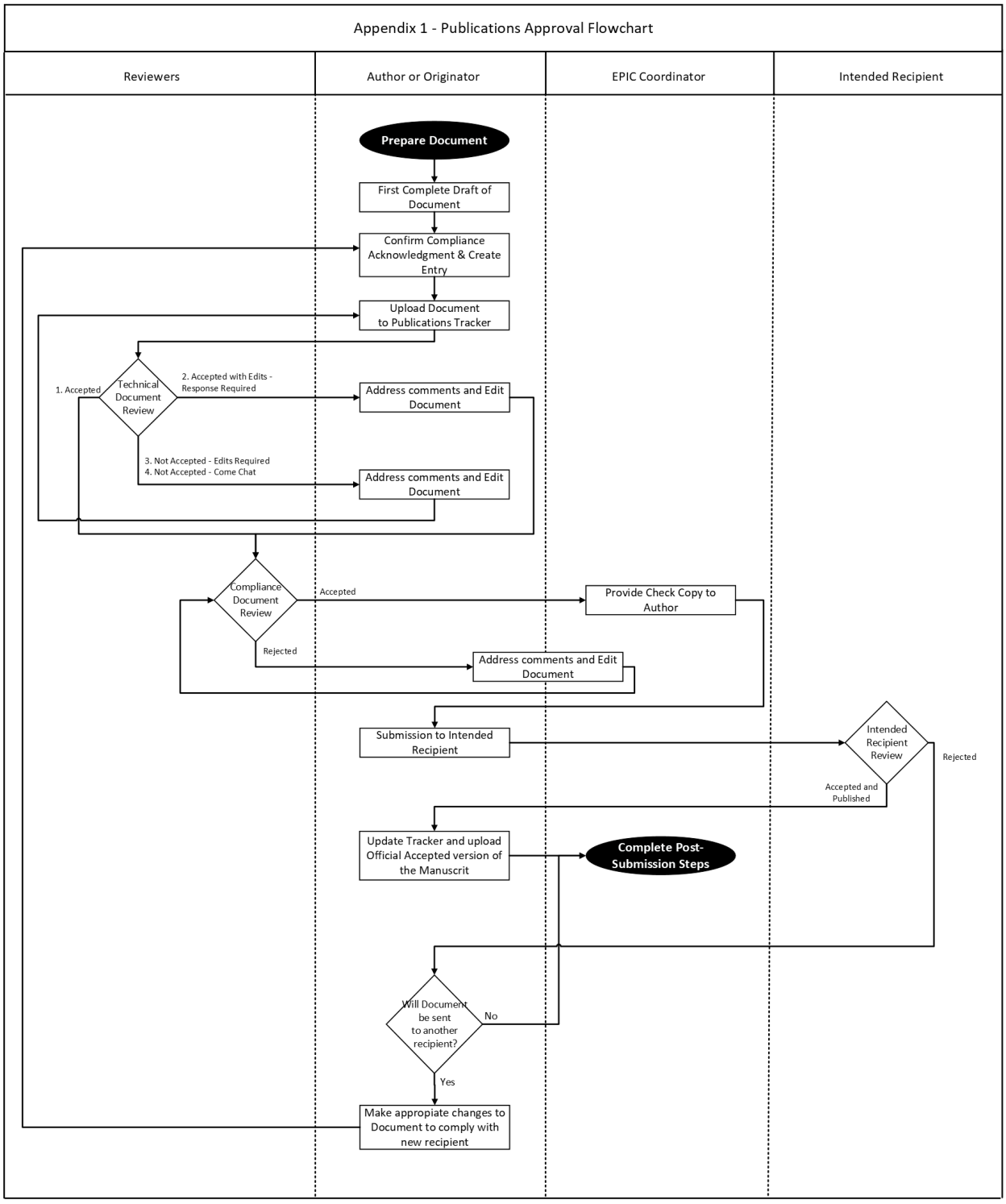
- **Color Graphics**

  The DIIID program does not pay invoices related to the use of color figures in the print editions of journals, unless the author has obtained Director-level preapproval. Color is typically included for the online versions of articles by the primary fees, i.e., there is no separate fee for including color in the electronically distributed versions of articles.

- **Open Access**

  Open Access publication charges are paid for by the program when that is the only distribution option allowed by the journal, or for cases that have Director-level preapproval.

APPENDIX 1 – PUBLICATIONS APPROVAL FLOWCHART



APPENDIX 2 – FREQUENTLY ASKED QUESTIONS

Q. What do I do if my paper is rejected by the Journal?
A. Notify your EPIC coordinator immediately and indicate whether you intend to resubmit to a different journal or not.

Q. Who completes the copyright form?
A. The first author may complete the form, provided the document has completed the entire review process.

Q. How to I submit my publication invoice for payment?
A. Please submit your invoice directly to pubs@fusion.gat.com and make sure to reference the corresponding tracker ID number.

Q. Why can't I submit my paper after it has been approved by the VP Review?
A. The DIII-D program has many requirements set forth by DOE, and one of those is that the DOE DIII-D Program Manager must perform the Customer Review before research products are submitted for publication (or submitted for consideration for publication). The EPIC coordinator assigned to each document review ensures all requirements are met by creating the "Check Copy." This process begins after the VP Review is complete (and has resulted in an approval to proceed).

Q. Do I have to report my paper to OSTI?
A. No. The EPIC coordinator assigned to your document review will confirm all reporting requirements and perform the necessary reporting steps, such as OSTI. It is the author's responsibility to update the Publications tracker with the post-submission information and upload the Accepted and Published versions of their document.

Q. When can preprints be uploaded to arxiv.org or other public-facing website?
A. DIII-D manuscripts that have completed the review process and a Check Copy has been issued, may be posted to academic archival services such as arXiv. The data associated with manuscripts posted to archival services may not be shared with non-users (i.e., only data associated with manuscripts that have been published by journals may be shared publicly). When manuscripts are posted in this manner, the Author will provide the location of the pre-print as a comment in the Tracker. *Please note*: Authors are responsible to follow journal guidelines regarding sharing of pre-publication manuscripts.