

NTIA Handbook HB-14-503

ITS Publications Handbook
Volume I: Policies
Third Edition

ITS Editorial Review Board



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U.S. DEPARTMENT OF COMMERCE • National Telecommunications and Information Administration

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U.S. DEPARTMENT OF COMMERCE

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DISCLAIMER

Certain commercial equipment, software, and services are mentioned in this report to describe aspects of the ways that they may be used in publications. The mention of such entities should not be construed as any endorsement, approval, or recommendation, or as a statement that they are in any way superior to or more noteworthy than similar entities that were not mentioned.

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ITS PUBLICATIONS HANDBOOK

VOLUME I: POLICIES

ITS Editorial Review Board¹

This is the third edition of a handbook intended to help Institute for Telecommunication Sciences (ITS) staff produce reports and papers in accordance with ITS, National Telecommunications and Information Administration, Department of Commerce, and Federal Government standards. It is based on the “ITS Publications Handbook,” last updated in 2008, and the “Quick Reference Guide to ITS Publications,” published in 1993. Volume I, “Policies,” describes policies applicable to the preparation and quality review of manuscripts for publication and discusses policy issues such as the use of commercial names in ITS publications. Volume II, “Style Guide,” provides guidelines for the publication of documents so that their appearance is uniform, consistent, and appropriately formal. Templates and best practices formerly included in Volume III have been included in a set of procedures developed to support this handbook.

Keywords: Institute for Telecommunication Sciences, National Telecommunications and Information Administration, Style Guide; Technical Publications

1 INTRODUCTION

Publication of reports and papers is the primary means of dissemination of results of the National Telecommunications and Information Administration’s (NTIA) Institute for Telecommunication Sciences’ (ITS) research and engineering programs and services. ITS strives to promote prompt dissemination via the most effective media, while maintaining the highest standards of quality, accuracy, and technical soundness. The goal of this handbook and its supporting procedures is to ensure substantive, accurate, and clear expressions of ITS work.

The guidelines in this handbook apply to both printed and web-based documents, with very few exceptions—notably Section 11 of Volume II, “Preparation for Printing,” which is only relevant to documents that will be printed.

This handbook is based on the “ITS Publications Handbook,” last updated in 2008, and the “Quick Reference Guide to ITS Publications,” published in 1993. The previous editions of this handbook were divided into three volumes: “Volume I: Policies & Procedures” (this volume), “Volume II: Style Guide,” and “Volume III: Sample NTIA Report.”

¹ Members of the ITS Editorial Review Board who participated in the development of the third edition of this handbook include Kristen Davis, Chriss A. Hammerschmidt, William Kozma, Heather Otke, Anna E. Paulson, Margaret H. Pinson, Lilli Segre, and John M. Vanderau. Technical and editorial support was also provided by Kenneth R. Tilley. All are with the Institute for Telecommunication Sciences, National Telecommunications and Information Administration, U.S. Department of Commerce, Boulder, CO 80305.

In this third edition, a number of substantive changes have been made. The intention of the restructuring is to:

- Limit the content of Volume I of the handbook, which is an ITS policy document, to general directives and statements of policy. Its title has consequently been changed to “Volume I: Policies.”
- Expand the scope of Volume II of the handbook to address changes in the technology of publication and respond to questions about format and style addressed to the Publications Officer over the period since the last revision.
- Eliminate Volume III, which had only placeholder content to illustrate style and format. Instead, the handbook itself has been formatted as an NTIA Handbook and so acts as a sample, and electronic templates have been made available for the software programs and versions currently in use that embody the guidance in Volume II.

Specific hyperlinks and references to particular technologies, which tend to rapidly become obsolete, are given instead in supporting procedures or cited in footnote with an access date. Because procedures are of more limited scope and subject to a shorter approval cycle, changes in technology can quickly be accommodated by changes to individual procedures.

Traditionally, all scholarly papers are published in accordance with rigidly defined rules on style and format. However, many authors desire more flexibility. Both this handbook and the supporting procedures identify strict rules by couching them in strong words such as “must,” and “required.” Guidelines from which authors may deviate (in a systematic, consistent manner in each paper) are described with words such as “should,” or “are recommended.” Consult the ITS Publications Officer with regard to any deviations in rules about which you are uncertain. Remember that all rules on publication release, copyright, and policy matters must be strictly followed.

Authors should acquaint themselves with both volumes of the ITS Publications Handbook. Volume I explains the statutory, regulatory and administrative mandates that drive ITS policy regarding publication. It provides guidance as to content. Volume II provides guidance as to appearance. It contains specific formatting guidelines that help ensure that ITS publications adhere to the formatting norms common to our scientific community and have a “look and feel” that is consistent not only with publications by other ITS authors but also with past publications.

2 PUBLICATION POLICIES

2.1 Basic Policy

Peer review is a critical reading of a draft manuscript by specialists in the field who were not involved in producing the draft. Peer review typically evaluates the clarity of hypotheses, validity of the research design, quality of data collection procedures, robustness of the methods employed, appropriateness of the methods for the hypotheses being tested, extent to which the conclusions follow from the analysis, and strengths and limitations of the overall product. Peer reviewers may suggest ways to clarify assumptions, findings, and conclusions or identify oversights, omissions, and inconsistencies.

ITS has had a peer review process in place since its inception, roughly continuing the guidelines in the “NBS Manual for Scientific and Technical Communications” under which ITS operated before becoming part of NTIA.² At ITS, the peer review process includes an editorial review to promote readability of the final product by the broadest possible audience. The Publications Officer acts as both a technical editor and a copy editor, making recommendations concerning, for example, content organization or image file format, as well as correcting grammatical errors, misspellings, mistyping, incorrect punctuation, etc.

Generally, peer review can be anonymous or open. Like the Office of Management and Budget (OMB), ITS favors open review. Authors are encouraged to seriously consider the suggestions of peer reviewers, but ultimately the quality of the publication remains the responsibility of the authors. The authors may incorporate reviewers’ suggestions to improve the product, or they may reject suggested changes with which they do not concur. Authors and reviewers are encouraged to use the process of peer review to engage in open and collegial discussion that leads to a beneficial exchange of viewpoints and greater clarity in the final product.

The peer review process at ITS is formalized through the principles laid out in this handbook and implementing procedures that support it. This is consistent with OMB’s positioning of peer review as a quality assurance process. Documentation to verify that each published manuscript has been processed in accordance with this handbook and its implementing procedures is retained in accordance with the current NTIA Records Schedule. The first stage of the ITS peer review process is an open and collegial peer review by two or more technical reviewers and an editorial reviewer, which generally leads to revisions to the manuscript. Then the revised manuscript and the records of the first peer review are submitted to the Editorial Review Board (ERB) for review. The ERB recommends action on the manuscript to the release authority, who reviews the final manuscript and the records of the two prior peer reviews before releasing it for publication.

ITS has a strong reputation for scientific integrity and as a trusted source of scientific information that dates back to the first publications of the Central Radio Propagation Laboratory in 1954. Technical publication is a primary means of technology transfer for ITS, and timely technology transfer is a mission objective. The peer review process should typically be

² Prior to the formation of NTIA in 1977, ITS was attached to the National Bureau of Standards (NBS), now the National Institute for Standards and Technology (NIST).

completed within six to eight weeks (at most four weeks allowed for initial peer review and two for ERB processing). Authors are encouraged to consult colleagues, including the Publications Officer, as necessary during manuscript preparation so that the manuscript presented for peer review is substantially complete and polished and the peer reviewers can focus their critical reading on technical, scientific, and mathematical soundness.

2.2 Scope

This section outlines policies for the preparation, review, release, and publication of technical reports and papers by ITS staff. Publication media include five categories:

- **NTIA Publications.** Instructions for preparing manuscripts for official NTIA publications are contained in this handbook.
- **Peer-reviewed Technical Journals.** Since peer-reviewed technical journals are an established, effective means of dissemination of research results, ITS staff are urged to publish in journals whenever possible. Authors should propose the most pertinent journal for the material and for the distribution desired; the editorial review procedure should confirm the proposed medium as the most appropriate. Authors are responsible for ascertaining and meeting the standards and conventions for manuscript preparation required by external journals.
- **Special Interest Magazines.** ITS research results may be of interest to the readership of print and electronic magazines that target particular groups of readers such as the public safety community, telecommunications industry members, etc. Publication to non-peer-reviewed magazines assists in ensuring that ITS programs and services are adequately known and understood by the public being served and should be encouraged as an adjunct to other forms of publication.
- **Conference Proceedings and Edited Volumes.** Media such as conference proceedings and edited volumes (including encyclopedias) may also be used to publish results of ITS research and engineering programs. Abstracts or papers proposed for conference presentation must be released by the release authority before final submission to the conference.
- **Monographs and Books.** ITS authors may choose to publish their work as a monograph or book, either as an NTIA publication or through a commercial publisher. A monograph is a scholarly, professionally oriented publication dealing with state-of-the-art research or an authoritative treatment of a broad area. It is expected to have long-lasting value.

ITS will publish and actively promote results of its technical programs:

- To meet its responsibilities to the U.S. Department of Commerce (DoC), NTIA, and other agencies
- To allow full opportunity for the nation to benefit from the economic, technical, and scientific information developed by ITS

- To ensure that ITS programs and services are adequately known and understood by the public being served
- To ensure the internal exchange of information and ideas
- To create a permanent record of such ideas and information

Work accomplished for other agencies that is judged to be of wider interest should be made generally available whenever possible. When such reports receive limited distribution because of security restrictions, or because they are being used for policy formulation at state or Federal levels, consideration should be given to developing a modified yet substantive version of the report that can be made generally available.

2.3 Policy Authority

All publications, whether paper or electronic, that disseminate the results of ITS research and engineering programs and services should be prepared, reviewed, and released in accordance with this policy to ensure the highest standards of quality, accuracy, and technical soundness.

2.3.1 References for Policies and Authorities

The publication of the results of federally funded research is governed by law, regulation, and administrative directives. ITS publication policies set forth in this volume, and the procedures that implement these policies, specifically respond to all of the authorities listed below.

- U.S. Department of Commerce. Department Organization Order 25-7. National Telecommunications and Information Administration, Sep. 28, 1992.³
- Executive Office of the President. Office of Management and Budget. Guidelines for Ensuring and Maximizing the Quality, Objectivity, Utility, and Integrity of Information Disseminated by Federal Agencies; Republication. 67 FR 8452, Feb. 22, 2002.⁴
- U.S. Department of Commerce. National Telecommunications and Information Administration. Section 515 Standards: Guidelines for Ensuring and Maximizing the Quality, Objectivity, Utility, and Integrity of Information Disseminated by the National Telecommunications and Information Administration, Sep. 25, 2002.⁵
- Executive Office of the President. Office of Management and Budget. Final Information Quality Bulletin for Peer Review, Dec. 16, 2004.⁶
- Data Quality Act/Information Quality Act. 44 USC §3516 (2011).

³ Accessed at <http://www.osec.doc.gov/opog/dmp/doos/doo25_7.html> on December 4, 2013.

⁴ Accessed at <<http://www.whitehouse.gov/sites/default/files/omb/fedreg/reproducible2.pdf>> on December 4, 2013.

⁵ Accessed at <<http://www.ntia.doc.gov/page/2011/information-quality-guidelines>> on December 4, 2013.

⁶ Accessed at <<http://www.whitehouse.gov/sites/default/files/omb/assets/omb/memoranda/fy2005/m05-03.pdf>> on December 4, 2013.

- The White House. Presidential Memorandum for the Heads of Executive Departments and Agencies, Accelerating Technology Transfer and Commercialization of Federal Research in Support of High-Growth Businesses, October 28, 2011.⁷
- The White House. Presidential Memorandum for the Heads of Executive Departments and Agencies, Scientific Integrity, March 9, 2009.⁸
- Executive Office of the President. Office of Science and Technology Policy. Memorandum for the Heads of Executive Departments and Agencies, Scientific Integrity, December 17, 2010.⁹
- Executive Office of the President. Office of Science and Technology Policy. Memorandum for the Heads of Executive Departments and Agencies, Increasing Access to the Results of Federally Funded Scientific Research, February 22, 2013.¹⁰
- U.S. Department of Commerce. Office of the General Counsel. Memorandum for All Chief Counsels and General Counsels. Implementation of Administration Policy on Scientific Integrity, December 16, 2011.¹¹
- U.S. Department of Commerce. Department Administrative Order 205-12. Public Information, Feb. 19, 1975.¹²
- U.S. Department of Commerce. Department Administrative Order 219-1. Public Information, Apr. 30, 2008.¹³
- Freedom of Information Act. 5 U.S.C. §52 (2012).¹⁴
- Electronic and information technology, Section 508 of the Rehabilitation Act of 1973 as amended by the Workforce Investment Act of 1998. 29 USC §794d (2012).¹⁵
- Standards of Ethical Conduct for Employees of the Executive Branch. 5 C.F.R. §2635 (2014)¹⁶

⁷ Accessed at <<http://www.whitehouse.gov/the-press-office/2011/10/28/presidential-memorandum-accelerating-technology-transfer-and-commerciali>> on December 9, 2013.

⁸ Accessed at <http://www.whitehouse.gov/the_press_office/Memorandum-for-the-Heads-of-Executive-Departments-and-Agencies-3-9-09> on December 4, 2013.

⁹ Accessed at <<http://www.whitehouse.gov/sites/default/files/microsites/ostp/scientific-integrity-memo-12172010.pdf>> on December 4, 2013.

¹⁰ Accessed at <http://www.whitehouse.gov/sites/default/files/microsites/ostp/ostp_public_access_memo_2013.pdf> on December 9, 2013.

¹¹ Accessed at <http://www.commerce.gov/sites/default/files/documents/2011/december/scientific_integrity_memorandum_dtd_2011-12-16.pdf> on December 4, 2013.

¹² Accessed at <http://www.osec.doc.gov/opog/dmp/daos/dao205_12.html> on December 4, 2013.

¹³ Accessed at <http://www.osec.doc.gov/opog/dmp/daos/dao219_1.html> on December 4, 2013.

¹⁴ Accessed at <<http://www.gpo.gov/fdsys/pkg/USCODE-2012-title5/html/USCODE-2012-title5-partI-chap5-subchapII-sec552.htm>> on December 4, 2013.

¹⁵ Accessed at <http://www.gpo.gov/fdsys/pkg/USCODE-2012-title29/html/USCODE-2012-title29-chap16-subchapV-sec794d.htm>> on December 16, 2013.

2.3.2 Related Procedural References

- U.S. Department of Commerce. Publishing and Printing Management Manual, Sep. 2004.¹⁷
- U.S. Congress Joint Committee on Printing. Government Printing & Binding Regulations.¹⁸
- National Archives and Records Administration, General Records Schedules, Transmittal No. 22, April 2010.¹⁹
- ITS Procedure PUBS-01 Manuscript Review and Release, current revision.²⁰
- ITS Procedure PUBS-02 ERB Duties and Responsibilities, current revision.

2.3.3 Statutory and Regulatory Requirements for Peer Review

Title 44 U.S.C. §3504(d) delegates OMB to implement policies, principles, standards, and guidelines for Federal agency dissemination of public information, and 44 U.S.C. §3516 directs OMB to “provide policy and procedural guidance to Federal agencies for ensuring and maximizing the quality, objectivity, utility, and integrity of information (including statistical information) disseminated by Federal agencies.”

The OMB, in its “Final Information Quality Bulletin for Peer Review,” established the requirement that “important scientific information shall be peer reviewed by qualified specialists before it is disseminated by the federal government.” However, OMB deliberately does not give specific guidance as to the form of peer review each agency should implement to ensure that the quality of published information meets the standards of the scientific and technical community in which the agency operates. The peer review process in place at ITS when the OMB Bulletin was released, whose principles are set out in Section 2.1 of this document, are consistent with the general principles given in the OMB Bulletin.

2.3.4 Statutory and Regulatory Authorities for ITS Peer Review

Title 15 U.S.C. §1532 authorizes the Secretary of DoC to conduct research in telecommunication sciences and publish the results. DoC Department Organization Order (DOO) 25-7 Section 7 delegates to ITS the management of these research programs. Section 7 of DoC Department Administrative Order (DAO) 219-1, Public Information, calls for “fundamental research communication” to be submitted to the head of the operating unit, or his or her designees, for approval in a timely manner based on the operating unit’s internal procedures.

¹⁶ Accessed at <http://www.ecfr.gov/cgi-bin/text-idx?c=ecfr;sid=afd2985bf020cf9e1f943fea214eca21;rgn=div5;view=text;node=5%3A3.0.10.10.9;idno=5;cc=ecfr#_top> on February 6, 2014.

¹⁷ Accessed at <http://home.commerce.gov/oas/Publishing&PrintingManual_9-04.pdf> on December 4, 2013.

¹⁸ Accessed at <<http://www.gpo.gov/fdsys/pkg/GPO-CPUB-101spub9/html/GPO-CPUB-101spub9.htm>> on December 4, 2013.

¹⁹ Accessed at <<http://www.archives.gov/records-mgmt/grs/grs16.html>> on December 4, 2013.

²⁰ The electronic file of ITS procedures posted on the ITS intranet is the current revision of record.

The requirement at 44 U.S.C. §3516 that Federal agencies issue quality of information guidelines was flowed down from DoC to NTIA, and implemented by NTIA through *Section 515 Standards: Guidelines for Ensuring and Maximizing the Quality, Objectivity, Utility, and Integrity of Information Disseminated by the National Telecommunications and Information Administration* (“NTIA IQ”). Section 3.2.2 of NTIA IQ delegates to ITS authority for pre-dissemination review of documents originating from and disseminated by ITS and describes the principal steps of the process. This document (ITS Publications Handbook Volume I: Policies), its companion (ITS Publications Handbook Volume II: Style Guide), and their supporting procedures implement the pre-dissemination review process in compliance with the NTIA IQ and other regulatory requirements and executive directives cited in Section 2.3.1.

2.3.5 Statutory, Regulatory, and Administrative Requirements for Data and Scientific Integrity

Section 6 of DoC DAO 219-1, differentiates “fundamental research communication” from other forms of departmental public communication. Fundamental research communication “deals with the products of basic or applied research in science or engineering, the results of which ordinarily are published and shared broadly within the scientific community.” This type of communication is required to be treated differently through procedures developed at the operating unit level. Section 7 specifies that “[t]hese procedures may not permit approval or non-approval to be based on the policy, budget, or management implications of the research.”²¹

In March of 2009, the President issued a Memorandum for the Heads of Executive Departments and Agencies on the subject of Scientific Integrity in which he directed the Director of the Office of Science and Technology Policy (OSTP) to develop “recommendations for Presidential action designed to guarantee scientific integrity throughout the executive branch.” These recommendations were published in the OSTP Memorandum for the Heads of Executive Departments and Agencies on Scientific Integrity which directed agencies to implement policies to support the principles of scientific integrity enumerated in the Presidential Memorandum.

The DoC Office of General Counsel (OGC) in turn issued a memorandum adopting these directives as the policy of the Department of Commerce. That memorandum reaffirmed the Department’s commitment to ensuring a culture of scientific integrity and “protecting scientific and technical findings from suppression or alteration by political officials.”²² As described in Section 2.3.3, NTIA’s IQ policy responds to this directive by establishing an entirely separate pre-dissemination review of documents originating from and disseminated by ITS. This is the scientific peer review process described in this handbook and is designed to ensure technical integrity, substantive value, and scientific accuracy. The IQ policy isolates technical peer review from the NTIA internal clearance procedure for the release of data collections and non-scientific manuscripts. This isolation is documented by recording all authors and editorial contributors on the NTIA Form 2 and NTIA Form 3. The pre-ERB and ERB procedures and the forms that support them document the integrity of the scientific peer review process practiced at ITS. The

²¹ U.S. Department of Commerce. Department Administrative Order 219-1. Public Information, Apr. 30, 2008, Section 7.

²² U.S. Department of Commerce. Office of the General Counsel. Memorandum for All Chief Counsels and General Counsels. Implementation of Administration Policy on Scientific Integrity, December 16, 2011, p. 1.

forms are retained as quality assurance documents in accordance with the National Archives and Record Administration General Records Schedule 16, Administrative Management Records, Paragraph 7, Records Management Files.

ITS publication policies implement the Institute’s mission objective to promptly and broadly disseminate scientific information about the results of research conducted here to enhance scientific knowledge and provide information to improve innovation and technology, support economic growth, and improve public safety. Both the OMB guidelines for peer review and the OSTP guidelines for facilitating the free flow of scientific and technological information rely on OMB’s definition of “scientific information²³” as “factual inputs, data, models, analyses, technical information, or scientific assessments.” OMB’s definition, and both DoC and ITS policy, exclude matters of policy, budget, or management from publication in ITS reports and papers. This policy provides procedural guidelines for review by other offices within NTIA when a manuscript makes a policy recommendation or refers to NTIA policy. However, such referral should never be required.

2.3.6 Delegation of Authorities within ITS

Authority to establish ITS publication policy is delegated to the ITS ERB. This group is responsible for interpreting existing publication policy to the staff. Questions concerning publication policies should be directed to the ERB through the Publications Officer. He/she will define and recommend to the ERB any modifications or extensions in policy that may be considered necessary.

2.3.7 Compliance with the Freedom of Information Act

DoC DAO 205-12 specifies the responsibilities required to comply with the Freedom of Information Act (5 U.S.C. §552, “FOIA”). The general intent of this law is that all relevant information be made available to the public and, in particular, that information be made available which imposes burdens, obligations, conditions, or limitations on members of the public. Material that is typically not subject to FOIA includes preliminary analyses, drafts of scientific papers, plans for future research, peer reviews, or communications with colleagues.

2.3.8 Compliance with Section 508 of the Rehabilitation Act

Section 508 of the Rehabilitation Act of 1973 as amended by the Workforce Investment Act of 1998, Electronic and information technology, requires that Federal agencies’ electronic and information technology be accessible to people with disabilities. As ITS publications are increasingly published and disseminated primarily or only in electronic format, this mandate becomes increasingly applicable to the handling of ITS manuscripts. It is the policy of ITS to

²³ OMB guidelines for peer review suggest more rigorous review of “influential scientific information,” defined as “scientific information the agency reasonably can determine will have or does have a clear and substantial impact on important public policy and private sector decisions.” Section 1.3.1 of the NTIA IQ specifies that “The scientific information disseminated by NTIA does not fall into the category of ‘influential scientific information.’”

take all reasonable steps to ensure that electronic publications adhere to the accessibility requirements of Section 508.

Volume II of this handbook, the Style Guide, contains guidance that directly addresses improving the accessibility of electronic publications for readers with disabilities, including those who depend on screen readers. Preference is to present the guidance as principles; specific techniques for improving accessibility are presented sparingly since advances in technologies for electronic publication can be expected to rapidly render them obsolete. Templates and procedures will be updated as required to support accessibility.

2.3.9 Classified Reports

Classified information or material should generally not be included in any NTIA publication. However, when it is deemed absolutely necessary to include classified information or material in an NTIA publication, it will be accomplished in accordance with Department of Commerce security directives in effect at the time of publication. All distribution of publications containing classified information or material will be strictly controlled and accountability established.

A classified report may include in its reference list a report with equal or lower classification. (See Section 4.1, “Reference Style,” in Volume II for further clarification.)

3 RESPONSIBILITIES AND PROCESS OVERVIEW

This section describes the responsibilities of the author, reviewers, ITS Editorial Review Board, and release authorities in the publication process. It also explains the use of the various publication forms and provides an overview of the review process, which is more fully described in the implementing procedures.

3.1 Review Process Responsibilities

The major responsibilities of participants in the ITS review process are as follows:

- The author has responsibility for the substantive value, accuracy, clarity and integrity of the manuscript.
- The Division Chief has responsibility for ensuring that the manuscript complies with the author’s scientific responsibility, that it presents “scientific information” in accordance with the definition cited in Section 2.3.4, and that courtesy copies are provided to other NTIA offices as appropriate.
- NTIA’s Office of Policy Coordination and Management (OPCM) is responsible for interpretation of policy. Manuscripts that make policy recommendations must be cleared through that office; manuscripts that describe existing NTIA policies should be cleared through NTIA’s Director of Public Affairs. In general, release of scientific information through ITS publication should not require clearance from any other NTIA office.
- Peer reviewers have responsibility for a critical and thorough reading of the manuscript content, noting any errors or issues that they discover, and bringing any policy concerns to the attention of the appropriate release authority.
- The release authority (ITS Director or Division Chief) has responsibility for review and release of the manuscript—for certifying, in effect, that the author has met his/her responsibility for scientific integrity and that the manuscript is free of matters of policy, budget, or management.
- The ITS Editorial Review Board (ERB) is established to advise the release authority on the disposition of manuscripts (see Section 3.4).
- The ITS Publications Officer has responsibility for administering the publication program in accordance with policies outlined here and statutory, regulatory, or administrative requirements outlined in Section 2.3.
- The ITS Publications Officer is responsible for seeing that this policy and its implementing procedures are available to ITS staff and that staff are sufficiently well informed concerning the publication policy so that they can meet their responsibilities for manuscript preparation, review and release. The Publications Officer will notify the staff of any changes or modifications in policy or any specific examples of publications policy interpretation that may have general applicability.

- All participants in the editorial review process have responsibility to support the authors in maintaining an objective approach that demonstrates scientific integrity and supports the existing widespread confidence in the quality, validity, and reliability of ITS publications.

3.2 Authors' Roles and Responsibilities

Responsibility for the quality and integrity of the publication ultimately rests with the authors. ITS provides resources to assist authors in ensuring the quality of publications, and it is the responsibility of the author to use those resources as necessary.

3.2.1 Preparation of Manuscripts

Manuscript content and format are the responsibility of the author. The author should ensure that the manuscript conforms to the style manual for the publication venue selected and that it is formatted correctly, including all numbering and pagination, in the medium used. The author should also ensure that illustrative content (e.g., figures and tables) is appropriate, correctly referenced, and formatted for legibility and clear understanding.

3.2.2 Peer Review

Responsibility for the substantive value, accuracy, clarity, and integrity of the manuscript rests with the author. This is ensured through peer review. The author is encouraged to discuss the choice of suitable technical reviewers with his/her Division Chief. One technical reviewer should be within the author's research group and at least moderately knowledgeable about the topic of the manuscript. At least one other technical reviewer should be outside the author's research group and less familiar with the topic. No technical reviewer should be a subordinate of any author of the manuscript. The supervisor will obtain the necessary reviews and the author will follow the implementing procedure for Manuscript Review and Release to shepherd the manuscript through the review process.

3.2.3 ERB Review

Manuscripts should be submitted to the ERB in accordance with the implementing procedure at least two weeks before the desired release date. If an author desires that a manuscript be released for publication in less than two weeks (e.g., to meet a conference deadline), it must be submitted in accordance with the procedure for expedited review. Expedited review calls for extra technical reviews to allow the ERB to perform a high-quality review in a shorter period of time. It is the responsibility of the author to consult the current revision of ITS Procedure PUBS-01 Manuscript Review and Release to verify the requirements for expedited review.

3.2.4 For Publications Outside of NTIA (Journals and Conference Proceedings)

When the manuscript is released for outside publication in a technical journal or conference proceedings, it is sent to the journal editor or conference organizers by the author. Authors are

expected to advise the Publications Officer of acceptance or rejection of each submitted draft publication outside of the NTIA publication series. After publication, the author should furnish the Publications Officer a link to the final published version to ensure that all successful outside publications are included in the appropriate repositories.

3.3 Guidelines for ITS Reviewers

A reviewer's responsibility to the review process begins when he/she agrees to perform a peer review of the manuscript. Reviewers must be sure that they can perform a thorough review in the time allotted. The reviewer should read the manuscript carefully, giving special consideration to its technical soundness, reliability, proper use of figures and tables, and appropriateness as a contribution from NTIA. Reviewers are encouraged to discuss concerns or suggested changes with the author.

Reviewers are not responsible for the value, accuracy, and clarity of the publication (that responsibility rests solely with the author). They are responsible for trying, to the best of their ability, to ensure that the manuscript meets the high technical and grammatical quality expected of ITS. The goal of both authors and reviewers should be a high technical and grammatical quality of manuscripts released for publication.

3.4 ITS Editorial Review Board

3.4.1 Editorial Review Board and Release of Publications

The ERB serves in an advisory capacity to the ITS Director and Division Chiefs in their functions to approve and release publications, and to recommend procedures and policies. The ERB is composed of five members appointed by the Director. Four people, one from each division, hold alternating two-year terms, with two positions vacated and refilled at the beginning of each fiscal year as necessary. The ITS Publications Officer is the fifth member, holding an indefinite term as Secretary. The chair of the ERB is appointed by the ITS Director.

Each manuscript submitted to the ERB is assigned to an ERB member sponsor by the chair. The ERB secretary may not act as a sponsor. The assigned reviewer "sponsors" the manuscript to the release authority for release. A recommendation for release attests that the ERB sponsor has reviewed both the manuscript and the technical review process that preceded submission to the ERB, and that the manuscript in its final form meets ITS technical and grammatical quality standards.

The ERB performs peer review of manuscripts for technical and editorial quality and policy-sensitive matters and recommends release or other disposition to the release authority. The release authority may, on rare occasions, waive the requirement for ERB review, e.g., in a case of emergency release or if the authority is satisfied that the manuscript has already received adequate review and is fully satisfactory for release. Manuscripts released for publication in the open literature without ERB review must be brought to the attention of the Publications Officer

and are included in the ERB minutes under “Noted Items.” The Publications Officer is responsible for bringing these manuscripts to the ERB’s attention.

The ERB meets at the same time each week in accordance with the implementing procedure. Manuscripts and all required forms for ERB review must be submitted in accordance with the timelines and procedures defined in the implementing procedure. Extraordinary meetings may be called by the Chair or the Secretary as needed.

3.4.2 Guidelines for ERB Sponsors

The ERB sponsor’s responsibility to the review process begins when he or she is assigned a manuscript received for review at an ERB meeting. The sponsor should not be a subordinate or superior of any of the document’s authors, and must not have been a technical or grammatical reviewer of the document. Preferably, the sponsor should have some technical knowledge of the topics addressed in the document.

In summary, the sponsor’s (and the ERB’s) responsibility is to ensure a high technical and grammatical quality of manuscripts released for publication.

Based on the sponsor’s findings and opinions after initial review of the final copy of the manuscript and the associated review copies and forms, further actions may be indicated. These actions may include:

- Changes made to the document before release
- Consultation with the technical readers or grammarian
- Resolution of conflicts between readers and authors
- Discussions with the authors

The sponsor’s actions and/or recommendations are reported at the next regularly scheduled ERB meeting. The usual categories for manuscript disposition are:

- Recommended for release
- Recommended for release, pending policy review
- Recommended for release, with certain stipulations
- Returned to authors for corrections or modifications
- Returned to authors with a requirement for additional peer review, with recommendations for a particular readers
- Rejected in present form, with a recommendation for a different publication medium

- Rejected in present form, with a recommendation for corrections, modifications, or additional review

The sponsor's responsibility to the review process ends when the document is either recommended for release, rejected in present form, withdrawn from the ERB, or assigned to another sponsor. Preferably, the sponsor and the ERB should finish review of the document within two weeks, or less in the case of an expedited review (see Section 3.2.3).

3.5 Guidelines for Release Authorities

The ITS Director has final release authority for NTIA Monographs and public information publications such as leaflets, booklets, and brochures. This includes responsibility for substantive value, accuracy, clarity, and conformity with NTIA objectives, plans, programs, and policies.

Technical or informal papers that are not to become part of the published NTIA technical publications series are released by the Division Chief or Executive Officer subject to whatever conditions may be imposed by the Director. See Section 4.2 for examples and additional discussion.

Release authorities must keep in mind that publications bearing on judgments dealing with factual, published data will not be viewed solely as the output of the authors and their immediate supervisors, but as official statements of the Administrator of NTIA, and perhaps of the Secretary of Commerce. Thus, in the exercise of release authority, supervisors are acting for the Administrator of NTIA and should judge publications with this responsibility in mind.

People below the Director level who have been delegated release authority, e.g., Division Chiefs, should not release their own papers but should refer them to the ITS Director.

The release authority must notify the Publications Officer when releasing a manuscript for publication in the open literature that has not gone through ERB review.

Release authorities must call three types of papers to the attention of their supervisors prior to the release of the paper. These are

- Papers likely to draw conspicuous public attention to NTIA activities
- Papers that may significantly affect a current activity at regulatory and policy-defining agencies at local, state, and/or Federal levels
- Papers or reports, such as impact assessments, that may have an effect on some aspect of private industries

It is the responsibility of the release authority to ensure that, if appropriate, advance notice is provided to appropriate other NTIA offices of pending publication of papers of this type. In accordance with DoC DAO 219-1 (see Section 2.3), manuscripts formally released by ITS should be free of matters of policy, budget, or management. The release authority will work with the author to ensure that manuscripts adhere to this directive. Should the author and the release

authority determine that a policy-related statement is appropriate in the context of the technical analysis being presented, publication of that manuscript must be cleared through NTIA's Office of Policy Coordination and Management (OPCM) or the Director of Public Affairs. The ITS Executive Officer will act in a consultative role, on behalf of the Director, on any manuscript viewed by the Division Chiefs or the ERB to contain policy-sensitive matters.

3.6 Responsibilities of Publications Office

The Publications Office is responsible for interpreting and applying the many mandates that govern the publication of the results of federally funded research. This office is responsible for advising ITS release authorities, the Editorial Review Board, and ITS authors when there are fundamental changes in those mandates, and for proposing any necessary updates to ITS publication policies.

The Publications Office will maintain all ITS publications records, including manuscript reviews, records of the ERB, and release forms in accordance with NTIA document retention guidance. Upon request of the author, the ERB, or the release authority, the Publications Office will provide format and non-technical, editorial review of any manuscript for publication.

The Publications Office is responsible for maintenance of the ITS Web site content, and for performing editorial review of new public content posted. Editorial review should address the application of "plain language" and other guidance for Government Web sites provided by administrative directives. This includes requesting, developing, and organizing appropriate content; ensuring that links or language required by administrative directives are included in templates; and working with IT staff to implement appropriate strategies for Search Engine Optimization (SEO) and compliance with Section 508 of the Rehabilitation Act of 1973 as amended by the Workforce Investment Act of 1998.

The Publications Office maintains records of and assigns publication number for formal NTIA publications listed in Section 4.1, whether originating from and disseminated by ITS or originating from and disseminated by technical staff in other NTIA offices.

In October of 2013 it was decided by ITS management that the primary method of dissemination for ITS publications will be through electronic publication on the ITS public Web site and publications will be printed only on a case-by-case basis. The Publications Office is responsible for preparing manuscripts for electronic publication and ensuring they are posted to the Web site in a timely manner.

The Publications Office is responsible for coordinating the printing of manuscripts with the Government Printing Office (GPO) or with the GPO liaison on site. After receiving NTIA Form 9, Request to Print, the Publications Officer will prepare the pre-press file of the manuscript and make any corrections to the electronic file needed to meet reproduction specifications. The Publications Officer will then assign a number, prepare the covers and title page (if not done by the author), prepare a pagination sheet and various publication forms, and arrange to have the document printed and distributed, as well as posted to the ITS Web site.

The Publications Office serves as the principal liaison with NTIA publications representatives in Washington, D.C.

4 PUBLICATION SERIES

4.1 Formal NTIA Publication Series

All of the publications in the formal series require the formal review process, receive a publication number, and can be referenced. All series are now numbered in one sequence, to assist the public in locating documents. A typical document number will be XX-YY-NNN, where XX denotes the report series, YY is the last two digits of the fiscal year of publication, and NNN is the three digits of the common report numbering sequence. All formal publications are placed on the Web site of the NTIA office that produced the report, and are deposited with GPO and the National Technical Information Service (NTIS) as required by the procedures of those agencies. Publications include documents that are distributed via printed (paper) copies, Web sites, CD ROMs, etc., or any combination of these media.

- **NTIA Monograph (MG) (Hard cover)**

A scholarly, professionally oriented publication dealing with state-of-the-art research or an authoritative treatment of a broad area. A monograph is expected to have a long-lasting value.

- **NTIA Special Publication (SP) (Cover varies)**

Information derived from or of value to NTIA activities such as conference proceedings, bibliographies, selected speeches, course and instructional materials, directories, and major studies mandated by Congress.

- **NTIA Report (TR) (Blue cover)**

Important contributions to existing knowledge but of less breadth than a monograph, such as results of completed projects and major activities.

- **Joint NTIA/Other-Agency Report (JR) (Blue cover)**

This report receives both local NTIA and other agency review. Both agencies' logos and report series numbering appear on the cover.

- **NTIA Software & Data Products (SD)**

Software such as programs, measurement data, and sound/video files. This series is especially appropriate for software and data products that embody NTIA research for the purpose of transferring technology to U.S. industry, but it is not required that such products be indexed in this series as formal NTIA publications if another method of distribution is more appropriate. This series provides a formal mechanism for reviewing and distributing software and for creating an entry in the publications database that will result in the software or data product being listed in publications search results and on the Browse Publications page on the ITS Web site.

- **NTIA Handbook (HB) (Blue cover)**

Information pertaining to technical procedures, reference and data guides, and formal user's manuals that are expected to be pertinent for a long time. The loose-leaf format may be used if updates are likely. Change pages and updates must receive full NTIA review.

- **NTIA Technical Memorandum (TM) (Blue cover)**

Technical information typically of less breadth than an NTIA Report, and/or limited durability. The series includes data (e.g., measurement results), preliminary results of larger projects, and information intended for a specific, limited audience (e.g., technical tutorials).

4.2 Informal NTIA Publications

Informal publications are not posted on the public ITS Web site and should not be referenced. The release authority establishes the review process. The release authority may choose to take advantage of the ERB process to request ERB review. An ERB review documents the fact of peer review through NTIA Forms 2 and 3, which will be retained in the Publications Office files. If another review process is established, the peer review will be documented in the project files.

- **Sponsor-Issued Reports**

NTIA frequently authors reports issued by a sponsor under other-agency covers. Publications of report-level quality whose distribution is controlled by a sponsor should appear under the sponsor's cover rather than in the NTIA publication series.

- **Brown/Window Cover Reports**

Reports produced for sponsors. These reports are not part of a numbered series and are not cataloged or indexed by the publications office.

4.3 Other Publications

NTIA provides information to other organizations through documents that are outside the formal and informal publication series. The rules on style for these documents fall outside the scope of this handbook. Authors should refer elsewhere (e.g., to relevant style guides) for formal instructions for any document in the list below.

Examples of such documents currently or previously produced by NTIA are as follows:

- Filings with the Federal Communications Commission (FCC) and other agencies
- Interdepartment Radio Advisory Committee (IRAC) documents
- Federal standards
- Military standards

- Directory of field contacts
- ITU-R and ITU-T documents (papers and draft recommendations)
- Submissions or contributions to voluntary standards bodies (e.g., the Telecommunications Industry Association)
- Telecommunications infrastructure studies
- Reports to Congress
- Notices of Inquiry (“NOI”) regarding public policy studies
- ITS Web pages that describe our work and facilities

5 JOINT PUBLICATIONS

Occasionally, other-agency sponsors require that project results be issued as joint publications with a modified format to show both agencies' names, logos, and report numbers. A sample of this cover style is shown in Figure 1. In addition, agreements with other agencies for projects performed by ITS may specify that the results be published by the sponsoring agency.

Joint publications may be required or appropriate when ITS performs collaborative research with other organizations under a CRADA or as part of standards development. If the publication instructions of the collaboration partner conflict with ITS procedures, authors must consult the ITS Publications Office to resolve the issue according to DoC regulations.

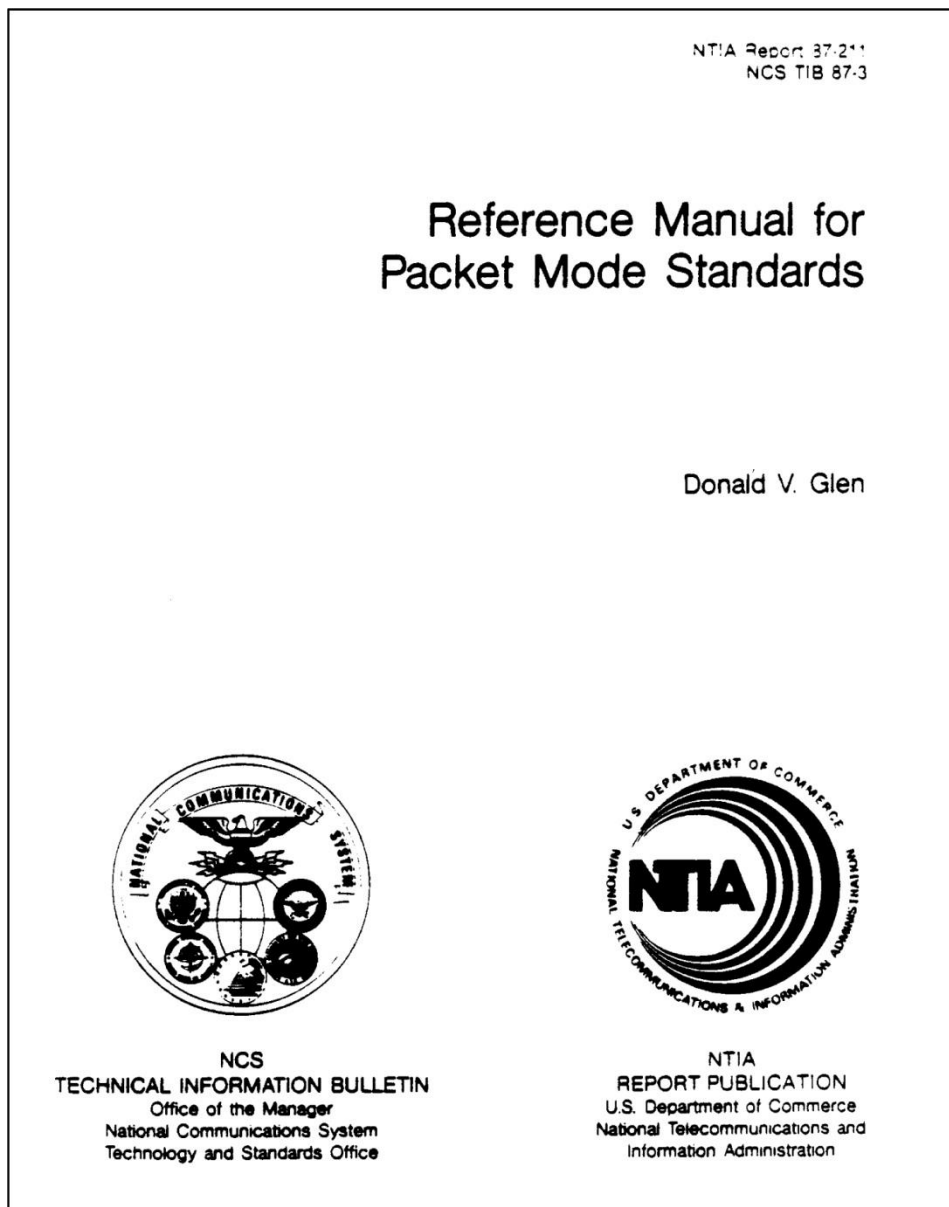


Figure 1. Example dual-agency cover.

All ITS authors should follow the steps listed below in addition to the standard pre-publication procedures for ITS publications.

- 1) Determine the sponsoring/collaborating agency's needs for the proposed publication as early as possible. The appropriate authority in a sponsoring agency is usually the Contracting Organization Technical Representative (COTR). The appropriate authority in a collaborating organization is usually an editorial review board.
- 2) Send the sponsoring agency's COTR, or the collaborating organization's review board, a draft of the proposed manuscript when the ITS internal-review copies are sent to grammatical and technical readers. This will allow the other agency ample time to propose changes in the draft, if necessary, to meet agency/organization requirements.
- 3) If ITS is going to publish the report, obtain from the sponsoring agency or collaborating organization:
 - Exact words (agency/organization names, individual names, office names, titles) that will appear on the cover and title page (especially important for Department of Defense agencies)
 - Publication quality electronic file of sponsoring agency's logo
 - Sponsoring agency's publication number, which will appear in addition to the NTIA number in the upper right corner of the cover and title page
 - Number of copies the sponsoring agency needs for distribution of completed report

If the other entity is going to publish the report, provide the same NTIA/ITS information to them.

- 4) Obtain the sponsoring agency's approval of a draft of the hard copy of the cover, title page, acknowledgments, and any other special material relating to that agency. (To reduce the chance of errors or misunderstanding, the sponsor's approval should be obtained in writing.)

If the author of an ITS report is preparing a report for dual-agency release, he/she should remember the following:

- ITS authors are responsible for the accuracy of the report number listed on the cover. Authors should be sure that the number shown is exactly the one supplied by the sponsoring agency.
- While no special ITS clearances are required for joint publication, neither are any ITS publication rules waived by joint publication of any document. For example, the joint publication must be free of commercial endorsements (or must include the specified disclaimer), must follow normal ITS release and clearance requirements, and must be a substantive, accurate, and clear expression of ITS work.
- No modification may be made to the NTIA logo or DoC seal supplied for the cover.
- Coordination with the sponsoring agency or collaborating organization is encouraged on all matters relating to the appearance of the published report.

6 ENDORSEMENT OF COMMERCIAL PRODUCTS

The following directive is from the September 2004 edition of the Department of Commerce Publishing and Printing Management Manual (Section 8.201 “Guard Against Endorsements”).²⁴

DoC publications must not mention commercial products, processes, organizations, or industries in such a way as to imply endorsement, criticism, evaluation, or comparison. However, if a bureau’s mission requires it to promote products, it can do so through publications, provided it uses objective criteria to determine which products to promote. Trade or brand names should be obliterated from illustrations if their use implies endorsement. The emblem of a private business or other organization must not appear anywhere on a Department publication, absent a waiver of this provision by the Office of Administrative Operations within OAS. (This provision does not apply to other governmental entities: federal, state, local, or international.) Any use of a non-governmental logo must be accompanied by a disclaimer that minimally states:

The use of this logo does not connote endorsement by the Department of Commerce of the organization’s views, products, or services.

Entities requesting a waiver should explain why the use of the emblem or logo: a) promotes a mission of the DoC, b) will not result in endorsement of the organization or products of the organization, c) will not embarrass the DoC and d) is authorized by the owner of the emblem or logo.

Lists of domestic manufacturers and suppliers of products or services should not be published unless authorized by statute. (See JCP Regulations, No. 24, paragraph 13.)

6.1 Use of NTIA Name in Advertising

Advertisements of commercial products cannot contain any statement such as “approved by NTIA” or “recommended by NTIA.” Precise statements of the actual relation of NTIA work to the marketed item can be allowed so long as no inference can be drawn that NTIA has approved, recommended, or endorsed any product or material.

6.2 Trade Names in NTIA Manuscripts

ITS authors must avoid the use of trade names in all manuscripts (including illustrations), except where public safety or health is involved or where mention of the trade name would not result in a competitive advantage or disadvantage to the manufacturer.

In general, authors should use generic terminology rather than specific commercial identification. For example, substitute “photocopy” for “Xerox®,” and “presentation software” for “PowerPoint®.”

²⁴ Accessed at <http://www.osec.doc.gov/oas/Publishing&PrintingManual_9-04.pdf> on August 18, 2011.

Authors should also avoid use of computer brand names to specify the memory size, type of computer, or speed of computer processing. The type of processor and some indication of clock speed are usually sufficient indicators of computer size and speed.

6.3 Trade Names When Work is Done in Cooperation with Industry

As part of the Commerce Department's mission to serve industry, ITS authors increasingly are working with industry through cooperative research and development agreements (CRADAs) per the Federal Technology Transfer Act of 1986, as amended. When the results of this work are reported, special care must be taken to observe the Department rules against endorsement or evaluation of brand names in the published work.

When use of a trade name is necessary for a clear understanding of the paper, the author must use extreme care to guard against possible misuse of the passage by others, or objection by the manufacturers or distributors of the same or competitive products.

6.4 Specification of Commercial Products in Experimental Procedures

It is expected that ITS manuscripts usually will not require precise product identification. An exception may be made to adequately specify the experimental procedures used, when the experiment does not characterize or evaluate the product identified. This exception allows ITS manuscripts to identify test equipment, to include computer code written in privately owned computer languages (e.g., MATLAB®, LabVIEW), and to include trade names of commercial software packages.

When the author and his/her release authority determine that the use of trade names is essential to the clarity of the report, the names will be included. In such cases, the manuscript should ordinarily include a product disclaimer (see Section 3.1.3, "Product/Partial Disclaimer (Optional)," in Volume II) or a footnote disclaimer. The footnote disclaimer should be located at either the first identification or the section containing the first identification of the product. The footnote should contain an appropriately worded version of the product disclaimer. Occasionally, it may be permissible to omit the disclaimer when only an isolated, passing reference is made to a well-recognized product.

A distinction should be made between:

- a) the case when an author considers it necessary to identify precisely a particular instrument or material (used because it was available to him/her) by way of implicitly indicating resultant limitations on the precision, accuracy, or scope of his/her findings;

and

- b) the case when a particular material or instrument was intentionally used to take advantage of some particular property or combination of its properties.

In case (a), mere identification will usually be sufficient unless the author feels obliged to specify the limitations that have thereby been imposed on his/her findings. The “mere identification” should usually be in the text itself rather than in parentheses, as the use of parentheses here would tend to give undue emphasis.

In case (b), the crucial particulars should ordinarily be given in the text; and the material or device used should be identified in parentheses, as in the following example:

The AR intensities in Figure 2 were measured with a combination of optical filter and photomultiplier, which had negligible sensitivity to recombination radiation (RR) at approximately 1.1 eV (Schott KG-3 filter and 9558A photomultiplier).

If modifications have been made to provide some additional features, these should also be described in sufficient detail to permit duplication.

6.5 Characterization or Evaluation of a Product

In cases where an NTIA manuscript will be directly concerned with the characterization or evaluation of a product, for instance, an Impact Assessment, the manuscript must be accompanied by the author's memorandum stating that the manufacturers or distributors of the products mentioned have given permission for publication of the information presented and have agreed not to use the results for advertising or sales promotion. In addition, the manuscript must contain a clear statement of the precise basis for including the particular product concerned in the study to the exclusion of other similar products (a matter that should be carefully considered before starting the work).

6.6 Copyright Considerations

Copyrighted material is protected by the 1976 Copyright Act,²⁵ and infringement is a serious matter. Written permission from the copyright holder must be in hand before a publication that contains copyrighted material goes to press. The time to check this is when the report is in the process of being written. Information on copyrighted material is obtained from the ITS Publications Officer, or from the Department of Commerce Publishing and Printing Management Manual (Section 4.301 “Copyright Cautions”),²⁶ which states:

Copyrighted material may be used in DoC publications, whether for internal use or for public distribution, only with the permission of the copyright owner. Like a private individual, DoC is liable for damages if it infringes a copyright. Permission must be obtained in writing from the holder of the copyright and retained in the files of the originating office. Permission is required not only for verbatim copying and facsimile reproduction, but for derivative works based upon the copyrighted work, such as translation, abridgment, condensation, or any other form in which a work may be recast, transformed, or adapted. The copyright of any work is secured automatically from the

²⁵ Copyright Act of 1976, as amended, 17 U.S.C. §§ 101 - 810 (1991)

²⁶ From the September 2004 edition. Accessed at <http://www.osec.doc.gov/oas/Publishing&PrintingManual_9-04.pdf> on August 18, 2011.

first time the work is created in fixed form. Therefore, unpublished works, even though they may not have copyright notices, may not be used without permission. This applies to letters, including those of persons and organizations outside the Government... (U) nless the work is evidently in the public domain and thus freely usable, make inquiry of the publisher before using a work first published on or after January 1, 1978, that does not have a copyright notice.

A limitation on copyright protection is the doctrine of “fair use” set forth in 17 USC § 107. Limited use of copyrighted material in NTIA research publications is likely permissible under the exception for use in scholarship or research purposes. However, the “fair use” limitation is not defined in the statute and does not provide a bright line rule for determining what is or is not a fair use. Authors should be extremely conservative in asserting “fair use” and err on the side of protecting the copyright holder. In any case, if an image or text is protected by copyright, trademark, or service mark, attribution to the owner with the appropriate notice of copyright or symbol of protection should be included. For example, in the caption to a screen capture: “Google Earth™ map showing the Point Loma area and the location of the RSMS truck during measurements.”

Works of the U.S. Government—those prepared by its officers and employees as part of their official duties—are by law in the public domain and cannot be copyrighted. However, information taken from such works must be appropriately attributed and cited, and verbatim quotes must be distinguished by quotation marks or indenting.

7 PUBLICATION IN NON-GOVERNMENT MEDIA

7.1 General Guidelines

Outside journals and books generally reach a broader audience than any internal series. Thus, publication in external media is encouraged. Review and release responsibility for all outside publications are the same as for ITS reports. Special categories and characteristics of such publications are discussed below.

7.2 Conference Submissions

Papers to be printed in conference proceedings must be released in advance of final submission to the conference.

7.3 Honoraria and Royalties

Honoraria and royalties are governed by the Standards of Ethical Conduct for Employees of the Executive Branch (5 C.F.R. §2635). Specifically, Subpart H (Outside Activities), Sec. 2635.807 covers compensation for speaking and writing activities. If you have any questions about an activity you propose to undertake that does not appear to be covered by this regulation, they should be directed to your supervisor who may forward them to the NTIA chief counsel at his or her discretion.

7.4 Letters to Editors

Letters to journal editors are subject to the usual release authority required for all formal ITS publications. While letters do not require an ERB review, they do require a release by the author's supervisor and may require a policy review at the discretion of the supervisor.

7.5 Official Committee Documents

Papers developed for official committees (e.g., ITU-R, ITU-T, ANSI, and IEEE), which represent materials potentially available for documentation by such committees, are handled by the committee's respective editorial board or policies and are not subject to review by the ITS ERB.

7.6 Publication or Reprint Fees

The variety in methods and media of publication for scientific journals brings a variety of potential charges to authors who publish in different journals. Traditional print journals may charge a fee for color printing of figures. Other journals may charge page fees to cover some of the costs of publication and lower subscription prices. Open Access journals are freely available in electronic form on the Internet; authors bear the entire cost of publication. Any of these fees should be honored for outside journals when:

- The research paper represents work supported by the Government (including work performed under grants or contracts).
- The research paper has been officially released on an NTIA Form 3, Manuscript Approval.
- The fees are levied impartially for all research papers published by the journal whether by non-Government or by Government authors.
- Payment of such fees is in no sense a condition for *acceptance* of manuscripts by the journal. Payment may be a condition of publication of an article accepted on its merits.

Most journal articles and conference papers are now available over the Internet. ITS is not presently required to adhere to the OSTP directive in the Memorandum “Increasing Access to the Results of Federally Funded Scientific Research” that the results of federally funded unclassified research published in peer-reviewed publications should be made publicly accessible after a one-year embargo. However, in the spirit of the directive, older journal articles and conference papers that are in high demand have been scanned and made available through the ITS Web site. Newer journal articles and conference papers are generally available from the publisher’s site for individual purchase (if not open access). Therefore, it should not be necessary for authors to order reprints except in extraordinary circumstances.

Any publication or reprint fees should be charged on a Bankcard to the appropriate project cost center. Approval must be obtained from the Bankcard Approving Official before placing an order.

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15. ABSTRACT (A 200-word or less factual summary of most significant information. If document includes a significant bibliography or literature survey, mention it here.) This is the third edition of a handbook intended to help ITS staff produce reports and papers in accordance with ITS, NTIA, DoC, and Federal Government standards. It is based on the "ITS Publications Handbook," last updated in 2008, and the "Quick Reference Guide to ITS Publications," published in 1993. Volume I, "Policies," describes policies applicable to the preparation and quality review of manuscripts for publication and discusses policy issues such as the use of commercial names in ITS publications. Volume II, "Style Guide," provides guidelines for the publication of documents so that their appearance is uniform, consistent, and appropriately formal. Templates and best practices formerly included in Volume III of the Handbook have been included in a set of procedures developed to support this Handbook.		
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NTIA TECHNICAL MEMORANDUM (TM)

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For information about NTIA publications, contact the NTIA/ITS Technical Publications Office at 325 Broadway, Boulder, CO, 80305 Tel. (303) 497-3572 or e-mail info@its.bldrdoc.gov.