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### IOT Publications procedures manual LeBlanc, T.; Green, E.; Baddour, R. E.

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## DOCUMENTATION PAGE

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océaniques

## **IOT PUBLICATIONS PROCEDURES MANUAL**

LM-2004-32

### IOT Publications Committee

Trish LeBlanc  
Elizabeth Green  
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Date: November 2004

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# **INSTITUTE FOR OCEAN TECHNOLOGY (IOT) PUBLICATIONS MANUAL**

## **1.0 INTRODUCTION**

The final product of most IOT projects is some form of documentation describing the methodology and the results of the research. The nature of the work may vary between projects but high quality reports and publications are essential for presenting our work to clients, collaborators and other researchers. This report provides descriptions of the different types of publication and their format together with guidelines for security classification, distribution and publication accessibility.

This document defines the procedure for preparing reports and publications, and as such is part of the Institute's Quality System. This Laboratory Memorandum is also available in electronic format.

### **1.1 Glossary**

Senior Manager: refers to any one or more of the Director General, the Director of Facilities or the Director of Research as appropriate.

Supervisor: the individual to whom the author(s) directly reports. In the case of coop students it is the individual overseeing their work term.

Director: the Director of Facilities or Director of Research as appropriate. Reference to a Director requires specific action at that level in addition to any Supervisor action required.

## **2.0 CATEGORIES OF PUBLICATION**

Reports on research published by the Institute for Ocean Technology are classified under the following defined categories:

### **2.1 Laboratory Memoranda (LM)**

Reports intended primarily for internal use to document preliminary or partial research results, proposals, surveys, procedures, description of instrumentation, computer programs, user manuals or other substantial information of general interest.

- Approval for publication is by the Supervisor.
- The number of copies printed is usually 3, not including the master copy which stays with the Publications Coordinator.
- IOT number to be assigned by Publications Coordinator.
- Copies should be distributed as follows:

Distribution	Copies
NRC Information Centre, St. John's (NIC St. John's)	2
Author(s)	1
Circulate to Director General, Director and Group Leaders (if requested)	1

## 2.2 Technical Reports (TR)

Reports which document the results of research projects carried out for clients, collaborators or NRC. They cannot be released without the permission of the client and the project manager.

- Approval for publication is by the Supervisor.
- The number of copies printed is usually 3, not including the master copy which stays with the Publications Coordinator.
- IOT report number to be assigned by the Publications Coordinator.
- Copies should be distributed as follows:

Distribution	Copies
NRC Information Centre, St. John's (NIC St. John's)	2
Author(s)	1
Circulate to Director General, Director and Group Leaders (if requested)	1
Client (Non-IOT)	3

## 2.3 Contractor Reports (CR)

Reports done for IOT by outside contractors. A minimum of five copies should be requested from contractors doing work for IOT. If the project manager foresees a need for more than five copies, provision for a larger number shall be made in the contract.

- Approval for publication is by the Project Manager.
- IOT report number to be assigned by the Publications Coordinator.

Distribution	Copies
Publications Coordinator (master copy on file, either electronic or paper)	1
NRC Information Centre, St. John's (NIC St. John's)	2
Project Manager	1
Circulate to Director General, Director and Group Leaders (if requested)	1



## 2.4 Student Reports (SR)

Reports that are done by students as a result of work carried out under a work term at IOT or reprints of theses by students supported by IOT.

- Approval for publication is by the Supervisor. Theses do not require Supervisor approval but should be the final approved version from the granting institution.
- The number of copies printed is usually 3, not including the master copy which stays with the Publications Coordinator.
- IOT report number to be assigned by the Publications Coordinator.
- Copies should be distributed as follows:

Distribution	Copies
NRC Information Centre, St. John's (NIC St. John's)	2
Supervisor	1
Author(s) (if required)	1

## 2.5 External Publications

These are external publications in conference proceedings, journals, or books, pertaining to NRC research work or identifying the author(s) as an employee of NRC.

- A Manuscript Approval form must be completed.
- Approval for publication is by the Supervisor and the Director General.
- Reprints can be found at the NIC

## 3.0 QUALITY ASSURANCE DOCUMENTATION

### 3.1 Document Control

### 3.2 Report Management Form

Original copies of all internal reports must be accompanied by a report management form that is signed by the persons designated. This form is not included in the published report, but must be kept on file with the original copy of the report. A sample copy of a report management form is provided in Figure 1. An electronic copy of this form is available.

### **3.3 Report Documentation Form**

The first page of all IOT reports must have a report documentation form (This form should not be assigned a page number.) The form should be completed in the language of the report. A sample report documentation form is provided in Figure 2. An electronic copy of this form is available.

### **3.4 Manuscript Approval Form**

This form used only for external publications and must be completed by the persons designated. A sample Manuscript Approval Form is provided in Figure 3. An electronic copy of the form is available and is the preferred method for manuscript approval as outlined in section 4.3.

### **3.5 Authority to Use Copyright Material**

When required by a publisher, NRC's *Authority to Use Copyright Material* form is filled out by the author(s) and signed by the Director General. A sample form is provided in Figure 4. An electronic copy of this form is available.

## **4.0 QUALITY ASSURANCE PROCEDURES**

NRC has a draft policy on *Research Publications and Authorship*. IOT follows this policy with the additional responsibilities and processes outlined below specific to each publication type. Of particular note in the draft policy is the internal approval of publications "As a general principle, it is therefore required that manuscripts be submitted in advance to Institute management for approval. Factors to be considered by management include the potential value of the intellectual property, NRC's contractual obligations to clients and partners, and, in some cases, ethical issues." The full text of the draft policy is provided in Appendix A.

### **4.1 IOT Reports (LM & TR)**

#### **4.1.1 Responsibilities**

- The author(s) of a report is responsible for preparation of the report including carrying out appropriate checks on the validity of the methodology, accuracy of equations and experiment data, analysis and interpretation of results and conclusions.
- The Supervisor is responsible for checking the publication and assigning the security classification.

- The project manager and their Director are responsible for approving the publication. The Director may also request an internal peer review.
- The project manager is responsible for delivering the report to the client if applicable.

#### **4.1.2 Process**

- The report is prepared by the author(s) and the Publications Coordinator, (subject to availability).
- On completion, the report must be checked by the project manager.
- On completion of checks by the project manager, the Report Management Form is signed and dated by the author(s) and the project manager.
- The report is submitted to the project manager's Supervisor and Director for approval. If revision is required by the Supervisor or Director, it must be completed before proceeding.
- A complete report together with the Report Management Form is passed to the Publications Coordinator for printing.
- The project manager will arrange for shipping final reports to clients. If a draft report is shipped to the client ahead of the final version, it must be clearly marked as such. It is preferable that draft reports are approved at the level of Supervisor, but if this is not possible then draft reports may be sent out approved only up to project manager.

## **4.2 IOT Reports (SR)**

### **4.2.1 Responsibilities**

- The author(s) of a report is responsible for preparation of the report including carrying out appropriate checks on the validity of the methodology, accuracy of equations and experiment data, analysis and interpretation of results and conclusions.
- The Supervisor is responsible for checking the publication, assigning the security classification and approving the publication. They may also request a review by the Director.

### **4.2.2 Process**

- Student Report preparation is the responsibility of the student, however they can consult the Publications Coordinator for advice.
- On completion, the report must be checked by the Supervisor.

- On completion of checks by the Supervisor, the Report Management Form is signed and dated by the author(s) and the Supervisor.
- A complete report together with the Report Management Form is passed to the Publications Coordinator for printing.

### **4.3 IOT External Publications**

#### **4.3.1 Responsibilities**

- The author(s) of a publication is responsible for preparation of the paper including carrying out appropriate checks on the validity of the methodology; accuracy of equations and experiment data; analysis and interpretation of results and conclusions.
- The author(s) is responsible for obtaining a peer review of the paper. The peer would normally be an IOT colleague familiar enough with the subject to endorse quality and relevance of the content. Where a publication reports results of a project, project manager approval is required. The author's project manager is responsible for reviewing the paper and confirming that all appropriate checks have been carried out. The project manager is also responsible for assessing the suitability of the journal or conference proposed for the publication, identifying any issues concerning intellectual property and that resources required for preparation of the paper will be available. In instances where the project manager is one of the authors, the responsibility shifts to the author's supervisor.
- The Senior Manager (Director or DG) to whom the paper is submitted, or his/her delegate, is responsible for assessing the suitability of the journal or conference proposed for the publication in consultation with the author(s), identifying any issues concerning intellectual property and determining that resources required for preparation and presentation of the paper will be available. The Senior Manager is also ultimately responsible for quality, and may perform or obtain reviews in addition to the peer review.

#### **4.3.2 Process**

- The abstract (when required by the publisher) is prepared by the author(s) and submitted via email, together with a copy of the Manuscript Approval Form to the project manager or Supervisor. After the project manager or Supervisor's approval via a reply email, the abstract may be submitted to the publisher. The reply email to the author(s), including the completed Manuscript Approval Form is also copied to the Publications Coordinator for filing and cc'd to the Supervisor and Director General for their consultation and approval. Approval at this stage entails assessing publication suitability and resource requirements. Completion of the Manuscript Approval Form involves typing the name of the designated individual in the appropriate location.

- If the abstract is accepted for publication by the publisher, the author(s) will prepare a draft in accordance with the guidelines requested by the publisher.
- The draft, accompanied by the Manuscript Approval Form, is then submitted via email to the project manager or Supervisor for review. The review is carried out by the project manager, Supervisor or their designate.
- When the review is complete, the Manuscript Approval Form is forwarded to the Publications Coordinator for filing and cc'd to the Supervisor and Director General for their consultation.
- The Senior Manager must sign off on a paper before it is submitted to a publisher.
- The paper may then be sent to the publisher.
- Authors of papers presented at conferences are required to give any copies of proceedings obtained at conferences to NIC St. John's.

## **5.0 SECURITY CLASSIFICATION AND DISTRIBUTION**

All reports must have a distribution and security classification displayed on the cover and the title page, and also entered on the report documentation form. Classified reports always have a LIMITED distribution.

### **5.1 Document Classification**

Classifications of documents are described in the following sections. Further details may be obtained from Treasury Board circular "Security Policy of Government of Canada" (Treasury Board 1986).

#### **5.1.1 Classified Information**

Classified information is that which is sensitive to the national interest. One of the three classifications listed below is indicated on every page of the document (centre of the header). A distribution list must be kept and attached to the original file copy. The date or event at which declassification or downgrading is to occur shall be marked in the report documentation form. If declassification or downgrading information does not appear on the documentation page, a review of the classification shall take place after 10 years.

##### **5.1.1.1 Top secret**

When unauthorized disclosure, destruction, removal, modification, or interruption could reasonably be expected to cause exceptionally grave injury to the national interest.

Each copy of a TOP SECRET document must be numbered and the total number of copies indicated in the upper right-hand corner of the cover stating "Copy no. X of Y."

In addition, each page shall indicate "TOP SECRET (Copy X of Y)." In addition, each page shall indicate "TOP SECRET (Copy X of Y)" in the centre of the header.

#### **5.1.1.2 Secret**

When unauthorized disclosure, destruction, removal, modification, or interruption could reasonably be expected to cause serious injury to the national interest.

Each page must have "SECRET" indicated in the centre of the header line.

#### **5.1.1.3 Confidential**

When unauthorized disclosure, destruction, removal, modification, or interruption could reasonably be expected to cause injury to the national interest.

Each page must have "CONFIDENTIAL" indicated in the centre of the header line.

The RESTRICTED designation is no longer part of the Canadian classification scheme. However, information so designated from NATO countries or OECD sources must be safeguarded in accordance with agreements or understandings between the parties concerned. The designation "RESTRICTED" is to be assigned to information originating in the Government of Canada only in relation to RESTRICTED information received from NATO countries or OECD sources.

#### **5.1.1.4 Protected**

Protected information is sensitive information that lies outside the national interest and is exempt from access under the Access to Information Act or the Privacy Act.

Examples of protected information would be the following:

- scientific or technical information obtained through research by an officer or employee of a government institution, the disclosure of which could reasonably be expected to deprive the officer or employee of priority of publication;
- trade secrets of a third party;
- financial, commercial, scientific, or technical information that is confidential information supplied to a government institution by a third party and is treated in a confidential manner by the third party;
- information the disclosure of which could be reasonably expected to result in material financial loss or gain to, or could reasonably be expected to prejudice the competitive position of, a third party;
- Information the disclosure of which could reasonably be expected to interfere with contractual or other negotiations of a third party;
- information that is subject to solicitor-client privilege or obtained in confidence.

N.B.: The classification "PROTECTED" must be indicated on the cover, as well as the title page and the Report Documentation Page. Note that distribution of PROTECTED reports is always LIMITED.

### **5.1.2 Unclassified**

A document with none of the above national security classifications should be designated "UNCLASSIFIED."

## **5.2 Distribution**

As well as a security classification statement, reports must carry a distribution statement on the report cover, title page, Report Documentation Form, and Report Management Form. A document may be unclassified and still have limited distribution.

### **5.2.1 Limited**

This means distribution is controlled by the Director General, Director or a Group Leader and may only be released with their permission. This applies to reports of work done on behalf of another government department, industry, or an individual (i.e., proprietary information), as well as reports which are not intended for public distribution because of their preliminary character.

### **5.2.2 Unlimited**

This means anyone, anywhere, can apply for and obtain access to a copy. It does not imply that distribution copies are available, only that NRC Information Centre (NIC) copies may be inspected without restriction.

## **5.3 Authors**

Authors of a publication should include those who contributed intellectually to the design and execution of experimental and/or analytical work. The authors should normally be listed in order of importance to the research, the first author being acknowledged as the senior author, the second author being the primary associate, and the third author possibly being an equivalent to the second, but more likely having a lesser involvement in the work reported. Colleagues or supervisors should not allow their names to be put on manuscripts reporting research in which they have not been intimately involved. An author of a paper should be defined as one who takes intellectual responsibility for the results of the work being reported, and who would be prepared to respond to public inquiries regarding the complete report or to present the results at a conference.

## **5.4 Original Signed Copy**

The original copy of a publication (i.e. TR, LM, CR and SR), with signed Report Management Form must be kept on file for a minimum of seven years. When authors from several institutes are responsible for one report, the original document and the corresponding Report Management Form should be kept in the first author's institute.

## **6.0 ENSURING ACCESSIBILITY OF THE PUBLICATIONS**

Providing access to IOT publications is the responsibility of NIC St. John's. One copy of every publication is kept in the NIC for archival purposes. Any other copies provided to the NIC are available for circulation or copying.

Access to classified reports require security clearance appropriate to the classification by the requesting individual (see Appendix B for Report Security Access Procedures).

Unrestricted access is provided to unclassified reports, however a copying fee may be required.

### **6.1 IOT Publications Database**

The IOT Publications Database is maintained in Inmagic DB/TextWorks™. The purpose of the Database is to manage bibliographic information related to the IOT publications process and provide a means to retrieve information on those publications for IOT staff, management and the public. The Database is the recognized authority for information related to IOT publications.

Responsibility for database management is shared between the Publications Coordinator and the NIC as follows:

- Database design and modifications: Head of the NIC.
- Database maintenance and data entry: shared between the Publications Coordinator and the NIC.
- Design of web interface and internal search interface: Head of the NIC.

A detailed description of the database fields and preferred formatting can be found in Appendix C.

## **7.0 ROLE OF THE PUBLICATIONS COORDINATOR**

The Publications Coordinator will be responsible for the following:

- Issue report numbers when the final version is being prepared, keeping a record of the report number, title, author(s), sponsoring agency, etc.



- When the report has been approved, check with the lead author for number of copies required for printing.
- For spiral binding, use blue (unlimited), green (confidential), black (limited) and red (secret and top secret).
- If sending to ePRINT it St. John's use form DSS-MAS3149-2A, ensuring that it has proper financial coding and a cost estimate. Have the Project Manager and if necessary the Supervisor sign the requisition. Reports are sent by courier to ePRINT it St. John's, Cabot Place, Phase II, 10 Barbers Hill, P. O. Box 4600, St. John's, NL A1C 5T2
- When limited reports are received from the printers, number each copy and note on the Distribution Record for Limited Reports form where each copy is sent and file.

## **8.0 FORMATTING**

The intention of the format definition is to give a consistent style for IOT reports. In the case of external publications, the author(s) should use the format given by the journal or conference. All other reports should use these instructions.

### **8.1 Font**

The main text of the report is to be in Arial or Times New Roman 12 pt. In cases where the publisher of the conference proceedings or journal specifies the font type, spacing etc., the publisher's requirements shall override the IOT requirements in this aspect only.

### **8.2 Margins and Numbering**

All paragraphs and headings are to start at left margin. Margins to be one inch with the text left justified. Page numbering should be at the bottom centre of the page to allow for double-sided printing. Page 1 is to be the first page of text. Pages must then be numbered sequentially, including all full page figures and tables which are included with the text. The first page of the report will have the title of the report, centered at the top of the page. The title will be in upper case bold print.

### **8.3 Headings**

All headings have a leading number at the left margin, with two spaces between the last number and the first letter of the heading. The following designates the different types of headings:

- Main section headings are to be uppercase bold print.

- Subsection headings are to be lowercase bold print, with the first letter of each word capitalized.
- Sub-subsection headings are to be lowercase bold print, with only the first letter of the first word capitalized.

## 8.4 Equations

All equation numbers should be flush right and leading words are to be placed at the left margin.

$$\Phi = (\Phi_0 + \Phi_0) e^{i\omega t}$$

## 8.5 Figures, Photographs and Illustrations

These should be included in the main body text, except for technical reports which contain large amounts of data. In these cases, it is attractive to include summary data in the text and detailed data in an Appendix. However, authors may choose to place large numbers of figures and tables after the text if they prefer. Figures, photographs and illustrations cited in the text are to appear in square brackets (e.g., [Fig. 1]), unless the reference to the figure is an integral part of the sentence (e.g., Figure 1 demonstrates the relationship between....).

## 8.6 Captions

The first line of a caption is to be centred under the figure or photograph and usually over the table. The caption is to be headed with the table or figure number followed by a period or colon, and all the text should be lined up under the first word of the caption, i.e.

Figure 1.      Photograph showing the model material in a  
Fluid state being poured into a mould.

## 8.7 Appendices

The first page of an appendix gives the appendix title. If there is more than one appendix, they should be ordered alphabetically, i.e., Appendix A, Appendix B, etc. The title page should always be a right-hand page. All appendix pages should be numbered A-1, A-2, ..., B-1, B-2, etc.

## **8.8 References**

References are to be listed in a separate numbered section at the end of the text of the report. They should have consecutive numbers in the order in which they are cited in the text. The reference number should be typed at the left margin.

## **8.9 Documentation Page**

The first right hand page inside the cover will be the documentation page, shown in Figure 2.

## **8.10 Title Page**

The second right hand page will be a title page. The format for the title page will be

TITLE OF REPORT

Report Number

Authors

Date

## **8.11 Table of Contents**

The table of contents should first list the headings of the introductory pages, i.e. Tables, Figures and Symbols as required, followed by the sections and sub-sections of the report. When formatted using the style specified in this manual, Microsoft Word has the capability of automatically generating a table of contents.

## **8.12 List of Tables and Figures**

In technical reports that include large amounts of data, a list of tables and a list of figures must be included. The lists make it easier to find specific results. The lists need not include the exact names of the figures and tables if it makes them easier to read. For other report categories, the list of tables and list of figures are optional. If a list of tables or figures is used then it must be in one of the following formats:

## LIST OF TABLES

	Table
Summary of Ro-Ro Capsizing Model Experiments.....	1

## LIST OF TABLES

	Page
Table 1: Summary of Ro-Ro Capsizing Model Experiments.....	1

### 8.13 List of Symbols

A symbol list should be included and should list, in alphabetical order, first the report language symbols and then the Greek symbols. A short list of symbols should appear before the text after the list of figures and tables, but a long list should be at the back of the text after the list of figures and tables. A symbol should be in the text the first time it is used.

## Institute for Ocean Technology Report Management Form

Report Title											
Report Number	Date of Submission										
Security Classification	Distribution										
<p>External Publication?</p> <p>Yes <input type="checkbox"/> No <input type="checkbox"/></p> <p>If yes,</p> <p>refereed <input type="checkbox"/> non-refereed <input type="checkbox"/> invited <input type="checkbox"/></p>											
<p>If conference, proceedings published?</p> <p>yes <input type="checkbox"/> No <input type="checkbox"/></p>											
Workspace/File Name	No. of copies to be printed:										
<p>Approvals:</p> <table style="width: 100%; border: none;"> <tr> <td style="width: 80%; border-bottom: 1px solid black; padding-bottom: 5px;">Lead Author</td> <td style="width: 20%; text-align: right; vertical-align: bottom;">Date</td> </tr> <tr> <td style="border-bottom: 1px solid black; padding-bottom: 5px;">Author</td> <td style="text-align: right; vertical-align: bottom;">Date</td> </tr> <tr> <td style="border-bottom: 1px solid black; padding-bottom: 5px;">Author</td> <td style="text-align: right; vertical-align: bottom;">Date</td> </tr> <tr> <td style="border-bottom: 1px solid black; padding-bottom: 5px;">Group Leader</td> <td style="text-align: right; vertical-align: bottom;">Date</td> </tr> <tr> <td style="border-bottom: 1px solid black; padding-bottom: 5px;">Director General</td> <td style="text-align: right; vertical-align: bottom;">Date</td> </tr> </table>		Lead Author	Date	Author	Date	Author	Date	Group Leader	Date	Director General	Date
Lead Author	Date										
Author	Date										
Author	Date										
Group Leader	Date										
Director General	Date										

Figure 1. Report Management Form

DOCUMENTATION PAGE

REPORT NUMBER	NRC REPORT NUMBER	DATE	
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TITLE			
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ADDRESS	National Research Council Institute for Ocean Technology Arctic Avenue, P. O. Box 12093 St. John's, NL A1B 3T5 Tel. (709) 772-2479 Fax: (709) 772-2462		

Figure 2. Documentation Page

# MANUSCRIPT APPROVAL FORM

## INITIATION:

Author(s): \_\_\_\_\_

Title: \_\_\_\_\_

## PUBLICATION MEDIUM:

Conference: \_\_\_\_\_

Journal: \_\_\_\_\_

Other: \_\_\_\_\_

PROJECT NUMBER: \_\_\_\_\_

## ABSTRACT APPROVAL:

\_\_\_\_\_  
Supervisor

\_\_\_\_\_  
Date

Approval of abstract does not mean approval to attend conference.  
After abstract approval, please submit this [form via email to the Publications Coordinator](#)

## MANUSCRIPT APPROVAL:

\_\_\_\_\_  
Lead Author

\_\_\_\_\_  
Date

\_\_\_\_\_  
Author

\_\_\_\_\_  
Date

\_\_\_\_\_  
Author

\_\_\_\_\_  
Date

\_\_\_\_\_  
Independent Reviewer

\_\_\_\_\_  
Date

\_\_\_\_\_  
Supervisor

\_\_\_\_\_  
Date

\_\_\_\_\_  
Director General

\_\_\_\_\_  
Date

Figure 3. Manuscript Approval Form



## AUTHORITY TO USE COPYRIGHT MATERIAL

To: \_\_\_\_\_  
(name and address)  
\_\_\_\_\_  
\_\_\_\_\_

This refers to a paper entitled: \_\_\_\_\_  
\_\_\_\_\_

written by the author(s): \_\_\_\_\_  
\_\_\_\_\_

for publication in your: \_\_\_\_\_

1. The following author(s) of the paper carried out research and contributed to the paper on behalf of the National Research Council of Canada, and therefore an interest in the copyright in the paper belongs to the Crown in right of Canada, that is, to the Government of Canada:  
\_\_\_\_\_
2. We are not able to deal with the rights relating to the contribution of any coauthors who are not listed in Paragraph 1, namely:  
\_\_\_\_\_
3. With respect to the Crown's interest in the copyright, the National Research Council of Canada grants you the non-exclusive permission to print and publish the whole of the paper in your publication provided that its source, namely, the authors and the National Research Council of Canada, are clearly indicated.
4. You are \_\_\_\_\_ granted the right to grant the same right to others to print and publish. (If  
(enter NOT or leave blank)  
this right is granted, it is subject to the same proviso mentioned in Paragraph 3).
5. It is believed that this authorization will provide you with all the scope of action you require from the Government of Canada, but it does NOT transfer the copyright in the paper to you.

Signed at \_\_\_\_\_ the \_\_\_\_\_  
(City and Province) (Date)  
for the NATIONAL RESEARCH COUNCIL OF CANADA

(Director General)

Institute for Ocean Technology  
(Institute or Branch)

Figure 4. Authority to Use Copyright Material



**Appendix A**

**NRC Draft Policy on  
Research Publications and Authorship**

## **Draft NRC Policy on Research Publications and Authorship**

### Purpose and scope

The Policy defines some principles and guidelines regarding the internal approval of research publications submitted by NRC employees and the determination of authorship for publications resulting from joint research.

The Policy focuses on research papers submitted to refereed journals but it may also be applicable, although to a lesser degree, to other forms of research disclosure such as presentations at conferences, abstracts and other non-refereed published material.

The Policy applies only to publications related to professional work performed by NRC employees while on duty.

### Definitions

**Manuscript:** an author's written, typed, or word-processed copy of a work intended for publication.

**Intellectual property:** proprietary information and technical information inclusive of scientific and technical discoveries of any kind and in a form which is useful and transferable and which may be protected under law by way of, but not limited to, patents, trademarks, copyrights, industrial designs, software, know-how and trade secrets.

**Contractual obligations:** in the context of this policy, requirements arising from contracts between NRC and clients or formal agreements between NRC and partners, under which the dissemination

of the results of particular research projects is not entirely left to NRC's discretion.

## **Projet de politique sur les publications de recherche et sur la détermination des auteurs**

### Objet et portée

Cette Politique énonce des principes et des lignes directrices sur l'approbation interne des publications de recherche d'employés du CNRC et sur la détermination des auteurs pour les publications issues de recherches conjointes.

La Politique vise surtout les articles soumis à des revues à comité de lecture, mais elle peut concerner aussi, quoique dans une moindre mesure, d'autres types de documents tels que les présentations à des conférences, les sommaires et divers documents non soumis à des comités de lecture.

La Politique ne s'applique qu'à la publication des résultats du travail effectué par des employés du CNRC pendant qu'ils sont en service.

### Définitions

**Manuscrit :** texte, écrit ou produit électroniquement par l'auteur, d'un document destiné à la publication.

**Propriété intellectuelle :** information privative et information technique, et incluant les découvertes scientifiques et techniques de toute nature se présentant sous une forme utile et transférable, qui peuvent mais sans s'y restreindre, être protégées en vertu de la loi au moyen de brevets, de marques de commerce, de droits d'auteur, de dessins industriels, de logiciels et de secrets de commerce.

**Obligations contractuelles :** dans le contexte de la présente politique, ce terme désigne les exigences prévues dans les contrats entre le CNRC et ses clients ou les ententes formelles entre le

CNRC et ses partenaires, et en vertu

### Internal Approval or Research Publications

As the dissemination of research is one of NRC's main functions, results of research undertaken at NRC should generally be fully publishable. However, NRC must ensure that the public interest is protected. As a general principle, it is therefore required that manuscripts be submitted in advance to Institute management for approval. Factors to be considered by management include the potential value of the intellectual property, NRC's contractual obligations to clients and partners, and, in some cases, ethical issues. Intellectual property issues must be addressed within the framework provided by NRC's Intellectual Property Policy.

The normal level of approval is the group leader or the laboratory director in consultation, where appropriate, with corporate branches and external partners.

If needed, the decision is referred to the institute director general and, ultimately, to the responsible vice-president.

Given the wide diversity of NRC's research areas and activities, the NRC institutes are encouraged to either adopt or continue to implement their own internal procedures while complying with the spirit of the Policy.

### Authorship

Research publications should identify as authors all those, but only those who have made a substantial intellectual contribution to the research. The other contributions should be recognized separately in the manuscript.

desquelles la publication des résultats de projets de recherche n'est pas laissée entièrement à la discrétion du CNRC.

### Approbation interne des publications de recherche

L'information scientifique est l'une des principales fonctions du CNRC. Les résultats de tous les travaux effectués au CNRC devraient donc, en règle générale, être publiables. D'autre part, le CNRC doit protéger l'intérêt public et, pour cela, il convient d'exiger que les textes soient soumis à l'approbation des instituts avant d'être publiés. La direction de l'institut doit prendre en considération la valeur potentielle de la propriété intellectuelle visée, les obligations contractuelles du CNRC envers sa clientèle et ses partenaires et, s'il y a lieu, certaines questions d'éthique. La Politique du CNRC sur la propriété intellectuelle fournit le cadre de référence pour les questions de propriété intellectuelle.

L'autorité compétente en la matière est le chef de groupe ou le directeur de laboratoire, en consultation, s'il y a lieu, avec les services centraux et les partenaires de l'extérieur. Au besoin, la décision relèvera du directeur général de l'institut et, en bout de ligne, du vice-président responsable.

Compte tenu de la grande diversité des secteurs et des activités de recherche du CNRC, les instituts devraient adopter leurs propres procédures ou continuer d'appliquer celles qu'ils ont déjà, tout en respectant l'esprit de la Politique.

### Détermination des auteurs

Les articles de recherche devraient identifier comme auteurs tous ceux, mais seulement ceux qui ont apporté une contribution intellectuelle importante à la recherche. Le texte devrait mentionner les autres contributions séparément.

Recognizing that there might be variations between disciplines and fields of activity and research journals, it is suggested as a general guideline that inclusion as an author should be justified by a direct participation in at least two of the following activities:

- design of the research project
- performance of the research
- interpretation of the data, and
- writing of the manuscript.

General supervision of the research group is not sufficient for authorship but may be acknowledged in a separate paragraph, as may be the case for contributions such as technical assistance, data collection and critical reviews of the manuscript.

All authors share responsibility for a manuscript. While not being expected to be able to defend all aspects of the research, they should each be prepared to defend the aspects of the research in which they were directly involved.

Authorship should be discussed at the earliest possible phase of the research and issues should be addressed well before the publication stage. Disputes should be settled within the research group and only when no agreement can be reached should they be referred to management.

Flagrant disregard for basic fairness principles in the recognition of authorship credits could result in a scientific misconduct investigation under NRC's Research Integrity Policy.

*September 2004*

Les disciplines, les champs d'activité et les revues scientifiques n'adhérant pas aux mêmes normes, il est recommandé que, en règle générale, une personne soit considérée comme un auteur si elle a participé directement à deux au moins des activités suivantes :

- conception du projet de recherche,
- exécution de la recherche,
- interprétation des données, et
- rédaction du texte.

La supervision générale d'un groupe de chercheurs ne justifie pas à elle seule la désignation d'auteur mais on peut la mentionner dans un paragraphe distinct, tout comme les autres apports sous forme d'aide technique, de collecte de données ou d'examen critique du texte.

Les auteurs sont tous responsables du texte. On ne s'attend pas à ce que chacun soit en mesure de défendre tous les aspects de la recherche, mais chacun devrait pouvoir défendre les aspects auxquels il a participé directement.

Dès les premières étapes des travaux, on devrait discuter de la paternité des articles éventuels. Les problèmes à ce niveau doivent être résolus bien avant l'étape de la publication. Il faut régler les problèmes au sein du groupe de recherche et en référer à la direction seulement en cas d'impasse.

Un mépris flagrant pour les principes de base de l'équité dans la reconnaissance des contributions des auteurs pourrait donner lieu à une enquête pour inconduite scientifique aux termes de la Politique du CNRC sur l'intégrité en matière de recherche.

*Septembre 2004*

## Appendix B

### Report Security Access Procedures

## REPORT SECURITY ACCESS PROCEDURES

The NRC Information Centre (NIC) in St. John's maintains an archive of classified and protected reports from IOT and other organizations with similar research interests.

There are three types of documents housed in this archive that have restricted access:

1. IOT Reports designated Protected/Limited.
  - a) Access to these reports for IOT or Oceanic/Marineering staff requires no special procedures.
  - b) Access to other NRC personnel, may be granted on completion of a Classified Document Request and Receipt Form approved by the IOT Director General, the IOT Director of Research or the IOT Director Facilities and accompanied by written permission of their Group Leader. IOT students, Contractors and Guest Workers require the approval of the Group Leader of their Supervisor.
  - c) Non-NRC individuals and companies, except those covered under 1 a) and b), may not borrow an IOT protected document except with the special permission of the IOT Director General, the IOT Director of Research or the IOT Director Facilities and completion of Classified Document Request and Receipt Form approved by him/her.
2. Oceanic/Marineering Reports
  - a) Access to these reports for IOT or Oceanic/Marineering staff require no special procedures.
  - b) Access by all others, including IOT students and other NRC personnel may be granted on completion of a Classified Document Request and Receipt Form approved by a designated Oceanic/Marineering employee.
3. Classified Reports from Other Government Departments/Agencies/Contractors (OGDs)
  - a) Access is restricted to IOT staff whose security clearance is current (i.e. not older than 5 years) and at a minimum the same classification level or equivalent as the report requested. An IOT security cleared employee requesting the loan or order of a classified document must complete a Classified Document Request and Receipt Form approved his/her Group Leader. A request for an order of a classified document must also be accompanied by a "need to know" statement from the requestor.
  - b) A classified document may be loaned to a Contractor or Guest Worker only if he/she has the appropriate NRC or DND clearance and a Classified Document Request and Receipt Form has been signed by the Group Leader to which they are attached.
  - c) Access to other NRC staff follows the process in 3a. Access to these reports is not permitted by IOT students.

4. Handling of reports covered by this procedure (with the exception of 1a) and 2a)) must follow the following process:
  - a) Report must be placed in a sealed envelope with the name and address of the borrower
  - b) Reports that are mailed must be accompanied by two Transmittal Note and Receipt forms and be placed in a sealed double envelope. The inner envelope shall be addressed and headed by "To be opened only by...". The outer envelope shall not bear any security marking.
  - c) All reports must be returned to the NIC using the same level of protection in which they were loaned.
  - d) IOT Reports and Oceanic Reports may be returned to any NIC staff member; Classified Reports from OGDs must be returned to the NIC Head.
5. Record of Transactions
  - a) Details on all transactions handled in this manner must be recorded in the Report Circulation binder in the Vault on the appropriate log sheet (IOT Protected Report Circulation, Oceanic / Marineering Report Circulation, Classified Report Circulation) accompanied by appropriate paperwork. The borrower must sign the log sheet. In doing so, they acknowledge that information from the report will not be distributed or disclosed to a third party and that they are directly responsible for the safeguarding of classified and other sensitive information that is removed from the IOT premises.
  - b) Copies of the log sheets are distributed quarterly as follows: IOT Report Circulation to IOT Director of Research and IOT Director Facilities; Oceanic / Marineering Report Circulation to designated Oceanic / Marineering employee.

## Appendix C

### IOT Publications Database Specifications



## Database Field Descriptions

Field	Description
Author	Personal authors of publications – to be controlled by an authority list so that authors' names are entered in a consistent format. Multiple entries allowed. (Format: Lastname, Firstname I.)
Title	Title of the publication - Title case for reports; (IOT Publications Procedures Review); Sentence case for articles (IOT publications procedures review)
Report Number	IOT report series numbers. Unique entries only (i.e. TR-2004-01). Because this field has only unique entries, it used to determine the next report number in sequence.
Journal	Complete journal title - Title case (Ocean Engineering)
Conference	Conference name in full with details – (13 <sup>th</sup> International Offshore and Polar Engineering Conference, Honolulu, Hawaii, 2003)
Corporate Body	Company/agency responsible for the intellectual content of the publication including contractors. Multiple entries allowed
Sponsoring Agency	Organization sponsoring the research resulting in the report. It is only necessary to include IOT as a sponsoring agency if they are specifically indicated with along with additional sponsors.
Publisher	Company/agency producing the publication. Not required for conference papers or journal articles.
Classification	Description of the protection on a publications (i.e. Protected; Unclassified)
Distribution	Description of the circulation restrictions of a publication (i.e. Limited; Unlimited)
Date Created	Date the database record was created. Automatically assigned by the database. Useful for determining publications issued since a specific date.
Project number	IOT project number
Pages	Number of pages, or for articles page range (13 or 315-320)
Tables	Number of tables
Figures	Number of figures
Year	Publication year
Fiscal Year	NRC fiscal year (i.e. 2003-2004)
Issue	Journal issue or number
Volume	Journal or conference volume number
Keywords	As assigned by the author or added by the NIC. Allows multiple entries.
Abstract	As provided by the author
Notes	Other information of interest; in the case of student reports, the supervisor's name should be included here. Also should be used to capture common acronyms referring to agencies or publications (i.e. if International Offshore and Polar Engineering Conference appears in the Conference field, ISOPE should be added in the notes field.

URL	Link to a pdf version of a report or to the CISTI catalogue for items catalogued. Perhaps also a link to contractor web site, etc. Allows multiple entries.
Report Distribution	Distribution of physical copies of classified and/or contractor reports (i.e. Copy 1 – CISTI; Copy 2 – CISTI, Copy 3 – Author, Copy 4 – DRDC Atlantic, etc.) Allows for multiple entries
Status	Shows status of the publication process (i.e. In process; Complete, etc.)
Copies in Vault	Shows the number of copies available in the NIC.
Cited in	References that cite the publication.

# SAMPLE RECORD: CONFERENCE

Immagic DB/TextWorks 7.01 - IOT Research -> Shared Immediate -> [Edit: Record 1 of 1]

File Edit Records Display Search Sets Immagic.net Maintain Tools View Window Help

<b>Record Number</b>	9885	<b>Project Number</b>	01320
<b>Author</b>	*Abdelnour, R. *Comfort, G. *Spencer, D.	<b>File Number</b>	7819
<b>Title</b>	The effect of the model ice density on the predicted performance of a structure or vessel in ice	<b>Pages</b>	269-292
<b>Report Number</b>	IR-1992-13	<b>Tables</b>	
<b>Journal</b>		<b>Figures</b>	6
<b>Conference</b>	11th International Symposium on Ice, Banff, Alta., 1992	<b>Year</b>	1992
<b>Sponsoring Agency</b>		<b>Fiscal Year</b>	1992-1993
<b>Corporate Body</b>	Institute for Marine Dynamics	<b>Issue</b>	
<b>Publisher</b>		<b>Volume</b>	1
<b>Classification</b>	Unclassified	<b>Keywords</b>	*ice model tests *ridge ramming *ice density
<b>Distribution</b>	Unlimited	<b>Abstract</b>	This paper provides an overview of the effect of model ice density on the prediction of ice forces on offshore structures and vessels. A brief review of various
<b>Date Created</b>	6/18/2004 12:47:34	<b>Notes</b>	IAHR
		<b>URL</b>	
		<b>Report Distribution</b>	
		<b>Status</b>	Verified
		<b>Copies in Vault</b>	*Archive copy *Copy 2
		<b>Cited in</b>	

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# SAMPLE RECORD: THESIS

Imagic DB/TextWorks 7.01 - IOT Research <Shared Immediate> - [Edit: Record 1 of 1]

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<b>Record Number</b>	2199	<b>Project Number</b>	001	<b>Keywords</b>	*model test *icebreaking *scaling
<b>Author</b>	Colbourne, B.	<b>File Number</b>	7816	<b>Abstract</b>	A method of scaling icebreaker resistance is developed based on division of the total resistance into three independent components.
<b>Title</b>	A three component method of analyzing icebreaking resistance	<b>Pages</b>	258	<b>Notes</b>	
<b>Report Number</b>	IR-1989-07	<b>Tables</b>	8	<b>URL</b>	
<b>Journal</b>		<b>Figures</b>	83	<b>Report Distribution</b>	
<b>Conference</b>		<b>Year</b>	1989	<b>Status</b>	Verified
<b>Sponsoring Agency</b>		<b>Fiscal Year</b>	1989-1990	<b>Copies in Vault</b>	Archive copy
<b>Corporate Body</b>	Institute for Marine Dynamics	<b>Issue</b>		<b>Cited in</b>	
<b>Publisher</b>	Memorial University, Faculty of Engineering	<b>Volume</b>	Ph. D. Thesis		
<b>Classification</b>	Unclassified				
<b>Distribution</b>	Unlimited				
<b>Date Created</b>	6/16/2004 12:47:29				

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# SAMPLE RECORD: JOURNAL

Imagic DB/TextWorks 7.01 - IOT Research - Shared Immediate - [Edit: Record 1 of 1]

File Edit Records Display Search Sets Imagic.net Mainlan Tools View Window Help

Record Number: 2118 Help on this widget

Author: Parsons, B. L.

Title: A renormalized group model for the fragmentation of ice

Report Number: IR-1991-20

Journal: Cold Regions Science & Technology

Conference:

Sponsoring Agency:

Corporate Body: Institute for Marine Dynamics

Publisher:

Classification: Unclassified

Distribution: Unlimited

Date Created: 8/18/2004 12:47:29

Project Number: 289

File Number: 7819

Pages: 99-101

Tables:

Figures:

Year: 1991

Fiscal Year: 1991-1992

Issue: 1

Volume: 20

Keywords:

- ice fragmentation
- capacity
- dimension

Abstract: A modification to the renormalization group approach of Allegre et al (1982) and Turcotte (1986) is developed for ice. This yields the fractal dimension

Notes:

URL:

Report Distribution:

Status: Verified

Copies In Vault:

- Archive copy
- Copy 2
- Copy 3

Cited in: Yongfu Xu, Jianping Xu and Jianhua Wang, Fractal model for size effect on ice failure strength, Cold Regions Science and Technology, Volume 40.

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# SAMPLE RECORD: INTERNAL REPORT

Immagic DB/TextWorks 7.01 - IOT Research - Shared Immediate - [Edit: Record 6 of 11]

File Edit Records Display Search Sets Immagic.net Mainain Tools View Window Help

Record Number: 2733

Project Number:

File Number: 38602

Pages: 28

Abstract: The river construction of the hydroelectric project in the watershed of the La Grande River required the construction of 9 dams and 215 dykes. A few of

Notes: Case histories of the design, construction, and maintenance of rubble mound structures; derived from a seminar held at the Eureka Inn in Eureka.

URL:

Report Distribution:

Status: Verified

Copies in Vault: Archive copy

Cited in:

Title: Model study of riprap stability under wave action at the LG3 reservoir, La Grande Hydroelectric Project

Report Number: IIR-1994-18

Journal:

Year: 1994

Conference:

Fiscal Year: 1994-1995

Sponsoring Agency:

Issue:

Volume:

Corporate Body:

Institute for Marine Dynamics

Publisher:

Institute for Marine Dynamics

Classification: Unclassified

Distribution: Unlimited

Date Created: 6/18/2004 12:47:31

Keywords:

Validation: none

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