

TE18 Review Process and Responsibilities

October 17, 2017

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Conference Chair: Damian Vogt

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| | ASME |
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Review Process Goals

High publication standards – intent of ASME / IGTI to present and publish **high quality** papers

- Effective communication and interaction between authors, reviewers and session organizers
- Shared responsibility of reviewers and session organizers
- Review chain is the key to paper quality
- Timely actions are important staying on schedule makes it easier to maintain quality standards and remedy any problems



3

Review Chain - Who is Who



- Session Organizers (possibly in consultation with PCs and TCCs) make recommendation for conference and journal publication publication based on Reviewer input
- Review Chair makes final decision on conference publication
- Review Chair makes final recommendation for journal publication to Journal Editor
- Journal Editor makes final decision on journal publication



Schedule



Notes on Schedule

Process has many steps that must be done in series

If you are late or incomplete to a deadline, it puts untenable pressure on the downstream steps

Deadlines are <u>completion</u> dates, not start dates

Start early!

TCC, V/PC, SO all need to check, monitor, support, and push along progress and quality throughout their span of responsibility

- Send reminders to start tasks and meet deadlines
- Check status and address problems regularly

RCs cannot manage 2000 papers and 6000 reviewers without your help!



| | TE 2018 |
|---|---------------------------|
| TE17 concludes | June 30, 2017 |
| Submission of Abstract for Review | August 28, 2017 |
| Abstract Acceptance Notification | September 18, 2017 |
| Sessions with SOs set in tool | September 25, 2017 |
| Submission of Draft Paper for Review | October 30, 2017 |
| All reviewers assigned in tool | November 6, 2017 |
| Draft Paper Reviews Complete | December 4, 2017 |
| Notification of Paper Acceptance/ Revision Requirements | January 3, 2018 |
| Submission of Revised Paper for Review | January 29, 2018 |
| Author Notification of Acceptance of Revised Paper | Feb 12, 2017 |
| Submission of Final Paper | February 21, 2018 |
| Final Paper Approval by Review Chair | March 14, 2018 |

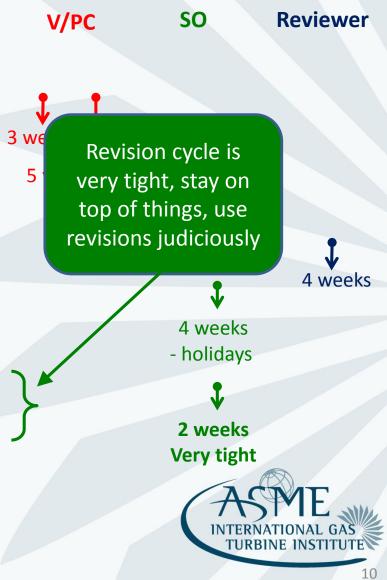


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| | TE 2018 | 3 | V/PC | so | Reviewer |
|---|---------------------|----------------------------|----------|-------------------------|------------------------------------|
| TE17 concludes | June 30, 2017 | | | | |
| Submission of Abstract for Review | August | 28, 2017 | J. T | Line up S to get the | |
| Abstract Acceptance Notification | Septem | ber 18, 2017 | 3 weeks | to get the | |
| Sessions with SOs set in tool | September 25, 2017 | | 4 weeks | | |
| Submission of Draft Paper for Review | Octobe | r 30, 2017 | | ↓ \$ | |
| All reviewers assigned in tool | Novem | ber 6, 2017 | | 5 weeks / | 1 |
| Draft Paper Reviews Complete | Decem | ber 4, 2017 | | 1 week | 4 weeks |
| Notification of Paper Acceptance/ Revision Requirements | January | Line up re | eviewers | ✓ Ψ 4 week | |
| Submission of Revised Paper for Review | January | early to ge the tool by | | - holiday | /s |
| Author Notification of Acceptance of Revised Paper | Feb 12, | allow ti complete | | 2 week Very tig | |
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| Final Paper Approval by Review Chair | nair March 14, 2018 | | | INTE | ERNATIONAL GAS URBINE INSTITUTE |

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Tasks for each role



Technical Committee Chair Tasks

Review process:

- Define tracks within the technical committee scope and description
- Line up point contacts and vanguard chairs
- Regularly check tracks and sessions for progress to key deadlines and adherence to quality requirements
 - SOs assigned by October 2
 - All reviewers assigned by November 6
 - Requirements for reviewers are all met, see page 16
 - All reviews completed by December 4
 - Recommendations complete by January 3 (February 12 for revisions)
- Support and advise others as needed throughout the review process



Technical Committee Chair Tasks

Post review process:

- Line up tutorials
- Consolidate sessions as required for schedule
- Make recommendations to ASME for scheduling
- Check on-line schedule, printed program for errors

Conference week:

- Attend CoC Sunday 6:00
- Put together charts for Committee meeting, run meeting

General:

- Maintain membership list
- Support best paper judging process
- Coordinate with student liaison
- Support student reviewer process
- support various requests for award nominations and judging
- Intervene with ASME to get support web tool, late uploads, etc.

Vanguard / Point Contact Tasks

| 1/ | |
|----|--|
| V | |

| | V Call | gadia/i dilit ddiltadt i asks | |
|--|-------------------------------|---|----|
| | Start, deadline | Task | |
| | June 30 - August 28 | Define track scope and description Line up SOs | |
| | August 28 - September 18 | Move abstracts to other tracks if appropriate (1st week) Accept or reject abstracts | |
| | September 18- September 25 | Form sessions, assign abstracts, assign SOs | |
| | September 25- October 30 | Provide teleconference training for all SOs Push SOs to line up reviewers now | |
| | October 30 - November 6 | Move papers to rebalance sessions if necessary Make sure SOs have all reviewers assigned appropriately and on time | |
| | November 6 - December 4 | Support SOs in enforcing review quality; return poor reviews | |
| | December 4 - January 3 | Support SOs in getting late reviews completed Push SOs to complete their recommendations with solid comments | |
| | January 3 - February 12 | Continue to monitor and push completion of late reviews and recommendations, especially for revised papers | |
| | February 21 | Follow up on any unsubmitted final papers – right away | |
| | March - May | Consolidate sessions as required, update session names and descriptions Check online and printed programs for errors Confirm attendance of SOs as chairs, identify subs as needed | JT |



Session Organizer Tasks

| Start, deadline | Task |
|-----------------------------|--|
| Now – October 30 | Line up reviewers for your session, |
| October 30 - November 6 | Check iThenticate scores; reject if very high, discussing with TCC and RC Assign all reviewers by Nov 6 |
| November 6 - December 4 | Check reviews as they come in; if inadequate, have TCC or RC return the review and request improvements in the comment box. |
| December 4 - January 3 | Follow up late reviews to get them completed Make your recommendations for conference and for journal For scores <100, follow process to consider rejection; engage RCs |
| January 3 - January 29 | Energetically work to close any late items |
| January 29 - February 12 | Process all revised drafts – send for re-review or do the re-review yourself Engage RCs to consider rejects |
| February 21 | Follow up on any unsubmitted final papers – right away |
| March - June | Update session info in tool – chair, vice-chair, paper order, session name Confirm attendance of SOs as chairs, identify subs as needed Check online schedule, printed program, for errors Confirm authors' attendance and bio information |

Supporting detail

- Reviewer selection
- iThenticate guidelines
- Requirements for a good review





Reviewer Requirements

- Line up reviewers early; assign in tool by **November 6**
 - Select three reviewers preferably industry, government and academia, but at least two of these three sectors are required
 - No two reviewers of a paper can be from the same organization
 - No reviewer can be from the same organization as authors
 - If needed ask your Vanguard Chair or Point Contact for help in reviewer selection
 - These requirements are non-negotiable and will be checked centrally. Misses must be fixed, and this causes a huge amount of delay and rework. Do it right the first time!
- Need V/PC and TCC to check and enforce this.





iThenticate Guidelines for Flagged Papers Above 15% Match





- Prior to assigning reviewers, organizers will need to analyze any matching results over 15%
- Check also if any individual sources have >15% similarity
- Check that proper citation of the sources is included
- Please examine the paper and reports and determine if plagiarism is indicated. If so, it is up to the organizers to determine whether to reject a paper or consider it through a review. Suggest discussing this with Vanguards and TTCs and RCs. If organizers would like to have feedback from ASME, they can request it through toolboxhelp@asme.org
- If plagiarism is not a clear driver of rejection, the paper can go through reviews. Reviewers should also analyze the Similarity Report and provide comments in their review results



Reviewer Tasks





- We know the review process is demanding. Detailed inputs are necessary for meeting ASME standards for the conference and the journal. Thank you for your efforts!
- You must substantiate your recommendation for / against conference presentation.
- IGTI review process is also a journal review process you must also substantiate your recommendation for / against journal publication
- For poor quality papers, seriously consider whether Reject would be the appropriate recommendation for the good of the conference.
- Please provide your completed review by December 6, 2017.
- If SO requests revisions, please complete re-review of updated draft as soon as possible but no later than February 9, 2018



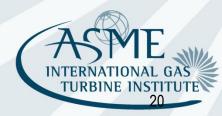


SO Paper Review MUST Provide: SO





- A summary of important points of paper in at least three to four sentences to indicate that Reviewer actually understands paper
- Statement of significance, relevance and originality of the research, or lack thereof
- A critical evaluation of methodology, accuracy and suitability of the work
- An evaluation of quality of the manuscript
- Clear statements of **necessary** changes required before presentation / publication
- Recommendation for or against conference presentation
- Recommendation for or against journal publication
- If required elements are missing, the review may be reopened and returned to you for completion.



Paper quality initiative -New process for poor papers

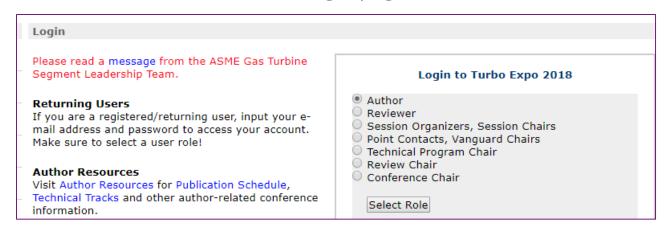


ASME / IGTI Review Process Changes for 2018

Approved by Gas Turbine Segment Leadership Team September 2017

Communicated by email from ASME Gas Turbine Segment, Sept 28, "ASME 2018 Turbo Expo: Paper Quality Initiative"

Available on the website on Login page



Paper Quality Improvement Initiative

Requested by GTS SLT in Charlotte

Widespread desire to improve quality – dozens of comments on 2017 survey.

"Quality of paper is decreasing the last couple of years. Quality should be more important than quantity."

"Quality of content is only so-so."

"Quality of papers not as high as they used to be."

"Set the standard for the quality of papers higher."

"Reject more papers."

"Rejection rate should be increased to around 20% to remove the remaining 10% of unqualified papers."

Recent rejection rate:

TE 2016: 9% of drafts were rejected

TE 2017: 11% of drafts were rejected

Estimated impact of new process:

TE 2018: Increase the rejection rate from ~10% to ~20%

Review Process Changes - Overview

Goal: improve minimum paper quality at the conference

Retain template of comment boxes (with some mods)
Bring back radio buttons (ratings for originality, relevance, etc.)
Tool calculates overall score for guidance (see page 25)

If a paper scores below 100,

- SO gives the paper extra scrutiny
- SO and RC have the authority to reject the draft if other conditions are met

Gives SO more leeway, and responsibility, to interpret the reviewers' input, with RC concurrence (as always)

Score Calculation

 SCORE per reviewer = 2*Originality + 2*Scientific Relevance + 2*Engineering Relevance + 1.5*Completeness + 1.5*Acknowledgment + 1.2*Organization + 1.2*Clarity

| <u>Rating</u> | Numerical Score |
|---------------|-----------------|
| Poor | 1 |
| Marginal | 2 |
| Acceptable | 3 |
| Good | 4 |
| Honor | 5 |

- Overall paper score = sum of three reviewer scores
- Total maximum paper score = 171
- Paper score if all reviews acceptable = 102.6

Review Process Steps

Reviewer provides recommendations, radio buttons, and comments in template.

• Ideally this will all be consistent, realistically it frequently will not be.

SO considers all reviewer inputs as well as the calculated score

SO can override recommendations and reject a paper if <u>all</u> these are true:

- 1. Score is below **100** paper falls below Acceptable standards
- 2. 2 reviewers recommend Major Revisions or Reject
- 3. Comments from 2 reviewers support this low score, i.e. point out significant shortcomings that are unlikely to be fixed in a revision
- 4. SO discusses the paper with RC / VRC and they both agree to reject
 - SO should initiate this discussion if 1, 2, and 3 are all true
 - Committee chair and vanguard are copied on communication, can offer input if desired

Gives SO more leeway, and more responsibility, to interpret the reviewers' input.

Involves RC earlier in the decision process.

Decision trees for recommendations



2 reviewers say Accept or Accept with Minor Revision, 2 Journal, and their comments support these recommendations:

Recommend Accept and check Journal box

2 reviewers say Accept or Accept with Minor Revisions, 1 Journal and 1 supportive Journal comments

Request revision to try for Journal; explain clearly in the comments

2 reviewers say Require Revision

Request revision; explain clearly in the comments



2 reviewers say Reject

Reject

2 reviewers say Require Revision or Reject

- Study comments is paper likely to be modified to meet requirements?
- If no, consult with Review Chair
- Strongly consider Reject; otherwise Request Revised Draft

Supporting detail for recommendations, with example SO comments



In the comments:

- Give a summary of your rationale for your recommendation for conference
- Give a summary of your rationale for or against journal
- Explain that the final decision will be made by the review chair
- Remind the authors that they still need to submit their final paper, by the deadline of February 21, preferably earlier

Example SO comments

Based on the reviews received I am pleased to inform you that I am recommending to the Review chair to accept your paper for publication at the conference. The reviewers made some helpful suggestions to improve the paper which I ask you to consider when preparing the final manuscript. Note you must still upload your final paper no later than February 21.

- plus one of these -

I am recommending the paper for journal publication based on the recommendations of the reviewers. The findings have not been published before and shed new light on an important problem in the field. The ideas presented are innovative and promise new technological developments with impact in the field.

I am recommending the paper for journal based on one reviewer recommendation as well as an email exchange with reviewer #2 to clarify his views, which supported a journal recommendation. The findings

I am not recommending the paper for journal based on the recommendations of the reviewers. The approach has limited applicability and the paper lacked guidelines that could advance the field and be useful to the design community.

Revision for Borderline Journal

- If one reviewer says Journal and another indicates the paper is close to journal, you may offer a revision to improve chances of a Journal recommendation.
- Make this very clear to the authors and to the re-reviewers.
- When the reviews come in:
 - You can ask for a re-review from a reviewer who indicated possibility of Journal, and ask that he be clear about his assessment of the revised paper for journal.
 - Do not ask for a re-review from a reviewer who already recommended Journal, or a reviewer who gave a negative review. This is a waste of time.
 - You can also assess the paper yourself based on the reviewer comments.
- If the revision now meets criteria to be considered for journal, make sure you check the Journal box and explain in your comments

Revision for Borderline Journal

Example SO comments

Your paper received one Journal recommendation and other comments that indicate that a Journal recommendation is within reach. Therefore I am requesting a revised draft, which I then will reconsider for Journal. The reviewer comments offer good suggestions and guidance on what would be required for Journal.

If you would like to pursue a Journal recommendation at this point, submit a revised draft, highlighting your changes, and also submit a rebuttal that responds to reviewer comments. This needs to be done no later than January 29.

If you do not want to take this step, simply resubmit your original draft. It will be recommended to be accepted for conference based on the initial reviewer recommendations, but it will not recommended for Journal. In either case, you will still need to also upload a final paper before the deadline of February 21.

- Request Revision if:
 - 2 reviewers say Revision -and-
 - There is an excellent chance the authors will make all the required changes for the paper to be acceptable -and-
 - Score > 100 -or- Review Chair concurs to ask for revision
- Do this as soon as possible, don't wait for the deadline
- In the comment box:
 - Summarize your recommendation with reasons
 - Request authors to upload revised draft by January 29
 - Have authors highlight changes and provide a rebuttal in response to reviewer comments

Requiring a Revision

Example SO comments

I am recommending that this paper not be accepted in its current form, but I will consider a major revision. This is consistent with the recommendations of the reviewers, who note that this result contradicts other published findings and this issue is not addressed at all in the paper. The current findings must be explained in context of previous work for the paper to be accepted.

You may submit a revised paper for reconsideration before January 29. Please highlight the changes and include a rebuttal that responds to the reviewer comments, especially those deemed necessary for acceptance.

- If you choose to send revised draft out for re-review:
 - Do this immediately; request re-review in the tool by February 5 (only 1 week).
 - Do not ask for a re-review from a reviewer who said Accept. This is a waste of time.
- If you choose to assess the paper yourself:
 - Assess versus the criteria laid out as necessary for acceptance in the comments
 - Consider re-reviews together with original positive reviews
- Make your recommendation on revised draft by February 12
 - Engage the Review Chair if decision is still unclear.
 - In comments, clearly explain your reasoning.
 - No second revisions you must Accept or Reject the revision.

- In the comment box, give a summary of reviewer comments substantiating your recommendation and the reasons for rejection.
- If there was only one reject recommendation, you should have consulted with the review chair. You can note in the comments that the RC concurs with the decision.



Reject (1st or 2nd draft)

Example SO comments

After extensive consideration of the reviews received, including comments, ratings, and recommendations, I am sorry to say that your paper is not recommended for conference publication because it does not meet ASME and IGTI standards. The reviewers noted several major technical flaws in your approach and arguments, which may have led you to conclusions which are inconsistent with other, previous work.

The Review Chair concurs with this decision. We encourage you to carefully consider the input from the reviewers, and we would welcome the submission of an improved paper for one of the upcoming ASME Turbo Expo events.

Changes in the web tool (in process)



List of Changes to the Web Tool

Reviewer input page

- 1. New questions for template questions. Only 4 questions are mandatory with minimum word counts.
- 2. Add back the radio buttons from 2016.
- 3. Change wording on "major revisions"
- 3a. Delete "Honors" option

Organizer screen, Reviewer tab

- 4. Calculate and display scores for each reviewer
- 5. Calculate and display total score
- Show entries for all radio buttons
- 7. Show inputs for all template questions

Organizer screen, Decision tab

- 8. Add words to comment box prompting for description of basis
- 9. Add an additional box for comments to be visible to organizers only

Reviewer input page, revised draft (no illustrations or details yet)

- 10. Do not offer option for Major Revisions, must say either Accept or Reject.
- 11. Consider shorter review options, suggested by Stacey under consideration

Reviewer Page

- 1. Summarize the goals and outcomes of the paper. (20 words min)
- 2. Comment on the originality, relevance, and long-term impact of the paper. (20 words min)
- 3. Assess the quality and credibility of the work. (20 words min)
- 4. Comments for author: comments and suggestions to improve the paper.
- 5. Minimum Required changes for conference publication (if needed).
- 6. Minimum Required changes for journal, if journal consideration is recommended.
- 7. Summary statement of reasons for or against recommendation for conference publication. (20 words min)
- 8. Summary statement of reasons for or against recommendation for journal consideration. (20 words min)
- 9. Comments to the organizers only (will not go to author)
- 10. Optional upload of pdf with longer comments to the author.

1. Template boxes as noted above. These have changed slightly. Only 1, 2, 3, 7, and 8 have minimum word counts.

Reviewer Page (cont.)

| An ASME paper should be: Clear, concise, complete, and original; with assumptions plainly identified; data and computation results presented with their uncertainty, precise logic, relevance to practice described, and with actual accomplishments of the work plainly | | | | | |
|--|---------|------------|---------|---|------|
| stated and honestly appraised. | | | | | Н |
| Please fill out ALL boxes below. If you are reviewing a revised paper, please update your input and your comments below. Each comment regulres number of words. | | G | č | G | ; "o |
| Each comment requires number of words. | 0 | ŵ | E | 0 | N |
| | 0 | A | P | 0 | 0 |
| Check the option to describe the following features of the paper: | R | L | T | D | R |
| Originality | | | | | |
| Engineering relevance | | | | | |
| Scientific relevance | | | \odot | | |
| Completeness of the reported work | | \bigcirc | | | |
| Acknowledgment of the work of others by references | \circ | \odot | | | |
| Organization | | \bigcirc | | | |
| Clarity of writing | | | | | |

2. Add back the radio buttons from previous years.

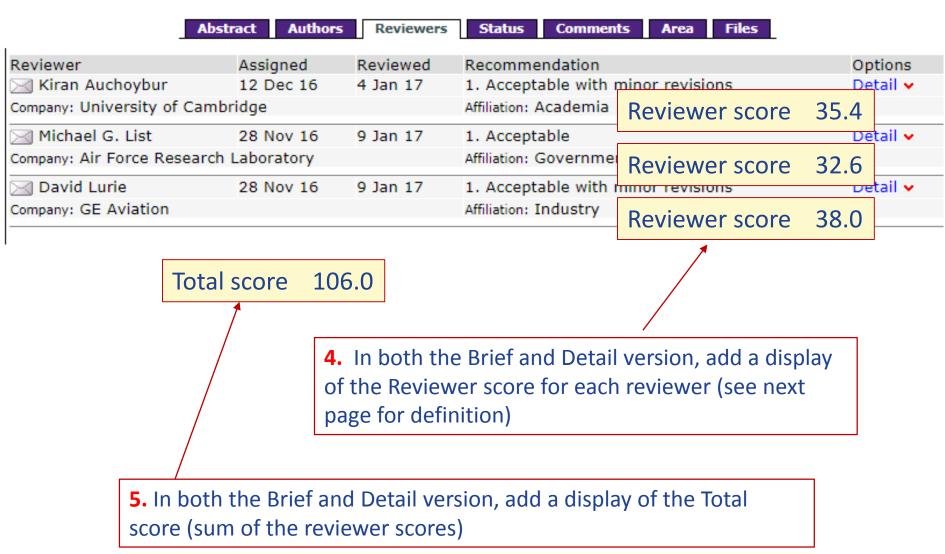
These ratings will be used to calculate the score.

Reviewer Page (cont.)

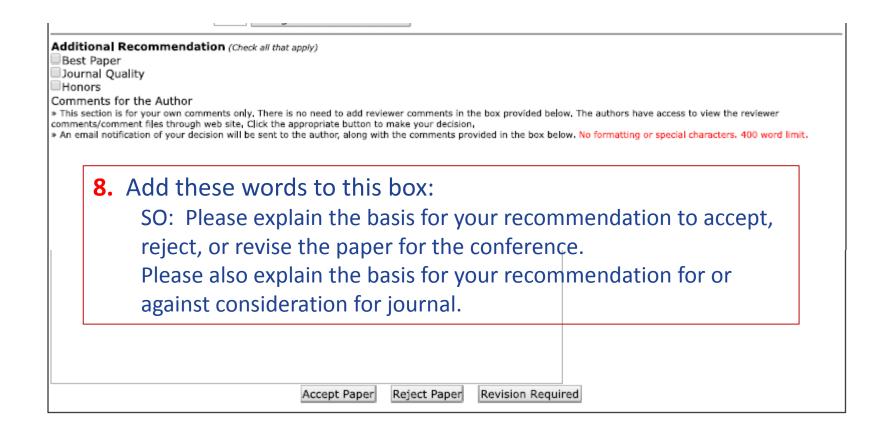
| Check the option to describe the following features of the paper: | | | | Υ | Ν |
|--|-----------------|-------------|--|------|---------|
| In your opinion, is the technical treatment plausible | and free of tec | hnical | errors? | | • |
| Have you checked the equations? | | | | • | |
| Are you aware of prior publication or presentation of | this work? | | | | • |
| Is the work free of commercialism? | | | | • | \circ |
| Is the paper too long? | | | | | • |
| Paper Rating Definitions of Quality Ratings | | | | | |
| Recommendation (* Explain in comments) | Additional Reco | mmen | ndations (Check all that apply) | | |
| Acceptable with honors* | Best Pape | r | | | |
| Acceptable | ☐ Journal Qu | ality | | | |
| Acceptable with minor revisions* | Honors | | | | |
| Acceptable with major revisions* | | | | | |
| Not Acceptable | | 3 a. | Delete Honors option – not u | sec | k |
| Comments For Organizers Only (Not Authors) C No formatting or special characters, option 2: in a PDF File, then uploa | | | | | imit. |
| Option 1: Text Only No special characters, 300 work limit, | | | Option 2: Upload File PDF only | | |
| | | | Choose File No file chosen | | |
| | | | Click Browse to select the comments file (PDF), on your computer, | whic | ch is |
| | | | Next » C | Cano | e |
| | | | | | |

3. Change wording to: Major revisions required; submit revised draft

Organizer Screen, Reviewer Tab



SO Decision Page



9. Add an additional box for the SO: Comments for the organizers. These should be visible to the Point Contacts, Vanguards, Committee Chairs, Review Chairs, and Journal Editor only.

Back to Message

Key ingredients of an effective and efficient review process are:

- Communication and interaction between authors, reviewers and session organizers
- Vanguards and committee chairs do quality control
- Shared responsibility of reviewers and session organizers

New elements for 2018 are:

- More active engagement of Review Chairs earlier in the process
- Emphasis on raising minimum quality



Close

New webtool area: Help > Organizer Resources

- This training package
- Paper quality standards
- Journal quality standards

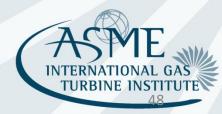
Vanguards: use this material for discussion with your SOs

encourage telecons

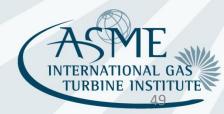
Next training: Tuesday, November 14, will invite reviewers

encourage your SOs to attend

basically same material, with more focus on review



- Q Are you planning to do something about the minimum characters required in comment boxes? Many reviewers complained about this new feature last year.
- A The word count requirement was reduced slightly this year. The survey taken several months ago indicated that the template was supported by a majority of organizers and by many of the reviewers as well. It is important to convey to the reviewers that the expanded input is very valuable to subsequent steps in the review process, and the extra effort on the part of the reviewer to provide detailed information is much appreciated.
- Q Why these specific weights for paper quality score? Looks like the equation can be normalized by constant 1.2. So, how were the weights decided?
- A The factors were selected to give more weight to the technical content of the paper, and somewhat less to the writing and description of the work, appropriate to a highly technical conference.
- Q Will these slides be made available to the SOs?
- A Yes, they will be posted on the conference home page and on the web tool under Help>Organizer Resources.



- Q Are the "session organizer" responsibilities the same as the "session chair"?
- A The session organizer manages the session through the review process. The session chair runs the presentation session at the conference. They are often the same person, but not always, due to travel limitations, session consolidation, etc.
- Q The shortened review period this year puts extreme pressure on the SOs.
- A The publication schedule is carefully worked out with ASME, with scrutiny on all the key volunteer steps and consideration of holiday periods, to avoid undue pressure on any one step. While the schedule is a demanding one, this year is fairly equivalent to previous years.
- Q Is there a stance on SOs reviewing first draft papers, versus a revised draft?
- A The SO should not serve as a reviewer for a paper in his session. If the SO assesses a revised draft rather than sending it out for re-review, he is not really acting as an independent reviewer; he is acting as a proxy for the earlier reviewers, by assessing whether the revised draft meets the requirements of those earlier reviewers as laid out in their comments.

- Q What are the reviewer criteria for conference vs journal?
- A Guidelines for both will be posted shortly under Help>Organizer Resources. Basically a Journal paper should be in the upper percentages of the papers published in a given area when ranked by quality.
- Q How does the score work with four or five reviewers?
- A There should only be three reviewers to meet ASME standards. If you have assigned extra reviewers in the tool, you should eventually remove them so that you have three reviewers that meet requirements.
- Q Does the webtool allow us to assign more than 3 reviewers, just in case one does not come through?
- A Yes, but this is not preferred, see above. It is better to get a firm commitment from your reviewers and push them to meet that commitment. In the end you need three reviewers that meet requirements; you can remove the others in the tool.

- Q What incentives exist to encourage reviewers to participate?
- A This is a volunteer activity. People review papers as a way to engage with the broader technical community, do their part to support the conference, help develop younger researchers, and develop their own critical thinking and communication skills. Reviewing papers can lead to larger volunteer roles such as session organizer, vanguard, committee chair, etc. Many organizations support and encourage this type of professional development and engagement.
- Q How do I see who is in my review chain?
- A Go to Login, Organizers, Committee tab. Larger Technical Committees such as Turbomachinery have multiple tracks or COMMS for the conference; both the Committee chairs and the track point contacts or vanguards are listed for each COMM. Contact the people listed for more clarity on the detailed structure for your particular session.

We will shortly provide detail on how the four review chairs are assigned to particular tracks for the review process.

