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## Introduction

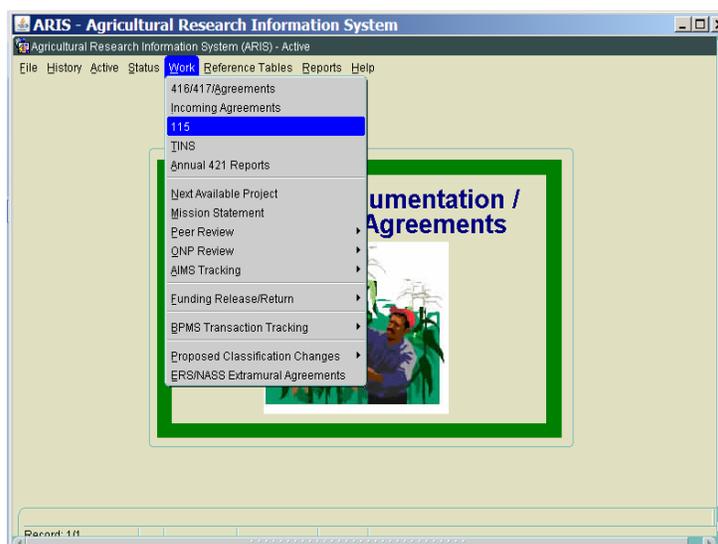
The ARS-115 “Request to Submit Manuscript for Publication” is required when an ARS employee wishes to publish any type of publication or to present a paper, talk, poster, etc., at any scientific meeting or forum, outside of ARS/USDA. **The ARS-115 must be submitted and approved through ARIS prior to submitting the publication to the journal and/or giving the presentation.** (see also P&P 152.1)

*NOTE: If a publication has ARS authors from multiple ARS locations, only one ARS-115 should be entered. The first ARS author in the list of authors must enter the ARS-115 and provide the information (Log #) to the other ARS authors.*

## Entering a New ARS-115

To enter a new ARS-115:

- From the ARIS Main Menu, select **Research/Agreements**.
- From the Research Documentation/Extramural Agreements screen, select **Work** and **115** (fig. 1).



**Figure 1 – Research Documentation Screen**

The Work File List screen will open. If you have any records in your Work file, they will be displayed here (fig. 2).

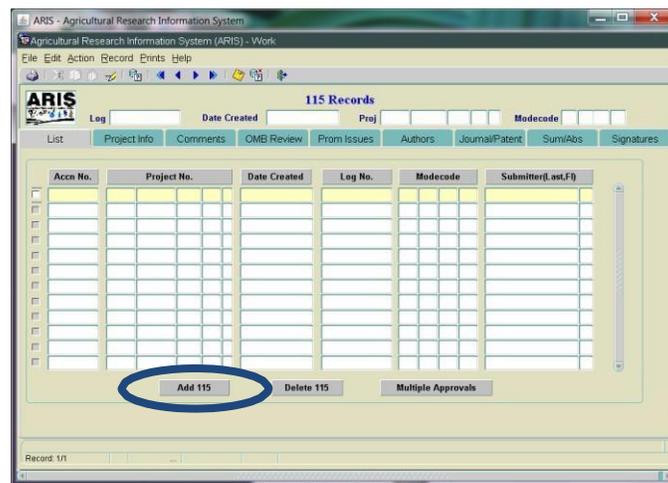


Figure 2 – Work File – List Screen

- To add a new ARS-115, click the **Add 115** button. The Project Information screen will be displayed along with a window listing all 416 projects (fig. 3).

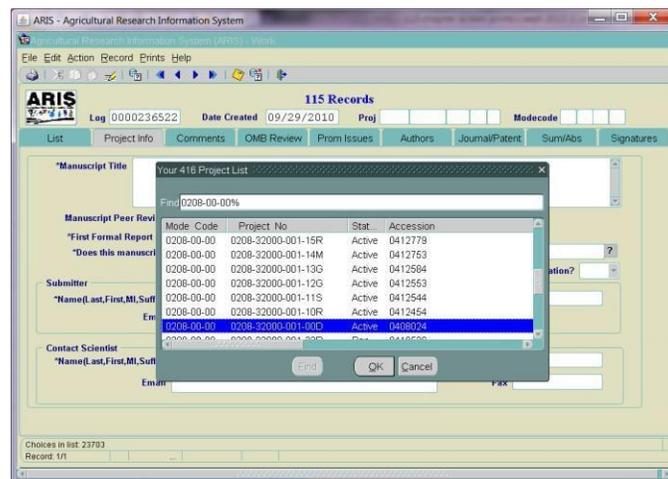
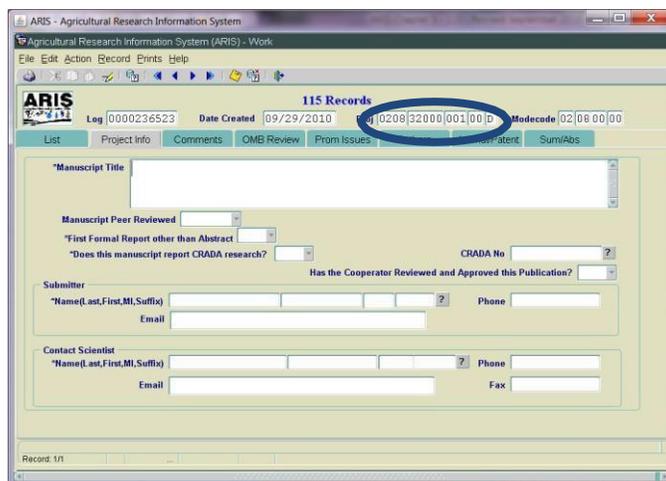


Figure 3 – Listing of 416 Projects

- Choose the project number that the ARS-115 should be linked to by placing the cursor on the project number. Scroll down the list or search for the appropriate project number (see Chapter 1 for searching techniques). NOTE: 88888 project numbers generally should not be chosen.
- Note: Choose the project number carefully.** Once the project number is chosen and the ARS-115 is entered and saved, the project number **CANNOT** be changed. If added incorrectly, a new ARS-115 will have to be entered to correct the project number and the incorrect ARS-115 will need to be deleted.
- Once the project number is found, highlight it and click **OK**. The project number will be inserted into the ARS-115 and a log number will be assigned, which is a permanent identifier.
- Continue adding the remaining information on the Project Information screen (fig. 4).



**Figure 4 – Project Information Screen**

**Note:** Always use the “?” or List of Values (LOV) next to a field, if available, when entering data in ARIS. This ensures that the proper data from the reference tables will be inserted accurately.

The information to be added on the Project Information screen includes:

(\* indicates a required field)

Manuscript Title*	The title should be entered as it should be shown within the citation, using <b>Sentence Case</b> (e.g. Tillage and crop rotation effects on drainage water quality). <b>No</b> period at the end. (Field Size: 225 characters)
Manuscript Peer Reviewed	Has the publication been Peer Reviewed? (Note: this is ARS Peer review, not the journal’s peer review requirements. Select Yes or No from the LOV.)
Does this manuscript report CRADA research?*	Select Yes or No from the LOV. If the answer is Yes, the CRADA No. and Notification fields are required. If the answer is No, select No and the CRADA No. field must be left blank. If the question was originally answered Yes at any point and subsequently changed to No, the CRADA No. and Notification fields will then be automatically cleared.
CRADA No.	Click the “?” and a list of CRADA numbers will be provided. Choose the appropriate CRADA number. The CRADA number will be validated against the ARS-115 associated research project.
Has the CRADA Cooperator Reviewed and Approved this Publication.	Select Yes or No from the LOV. This is a required field if the answer to “Does this manuscript report CRADA research?” is Yes. To approve the ARS-115, the answer must be Yes.

First Formal Report other than Abstract*	Select Yes or No. Is this the first formal report for this research? <b>If Yes, an interpretive summary is required. If entering an Abstract only, the answer should always be No.</b> (also see Matrix on pg. 31)
Submitter*	The submitter of the manuscript should be listed here along with their e-mail address and phone number. The submitter must be an ARS employee, Category 1, 4, or 6. <i>NOTE: Category 2 (post-docs) cannot be selected as Submitter.</i>
Contact Scientist*	List the ARS person to contact if someone has a question about the manuscript along with their phone number, e-mail address, and fax number. The contact must be an ARS employee, Category 1, 4, or 6. <i>NOTE: Category 2 (post-docs) cannot be selected as Contact.</i>

- Choose the Contact Scientist and Submitter, by clicking the “?”. A list of ARS employees will be displayed. Highlight the correct ARS scientist to be the Submitter and/or Contact Person, and click **OK**. The names chosen will be automatically **inserted along with the email address (if complete in the ARS personnel file)** in the Project Information screen. Add the phone number and fax number.
- Once all the information is entered on the Project Information screen, select the **Comments** tab to move to the Comments screen (fig. 5a).
- Click the **Add Comments** button (fig. 5a). Clearly describe the action/submission in the Comments field so all reviewers have a clear understanding of the requested action. (Field Size: 500 characters)
- Click the **Save** button (fig. 5b) and all comments will be saved with the current Date of Transaction (fig. 5c).

**Notes:**

If entering a meeting abstract, the meeting information including the meeting name, location, and dates must be entered here. (*e.g., To be presented at the Annual Weed Science Meeting, December 4-6, 2016, Parlier, California*).

If a waiver is requested and approved for clearance of non-ARS authors, include this information in the Comments as well as the reason for the waiver. Additionally, this waiver must be sent through the respective Area Office 115 Contact to Headquarters for approval.

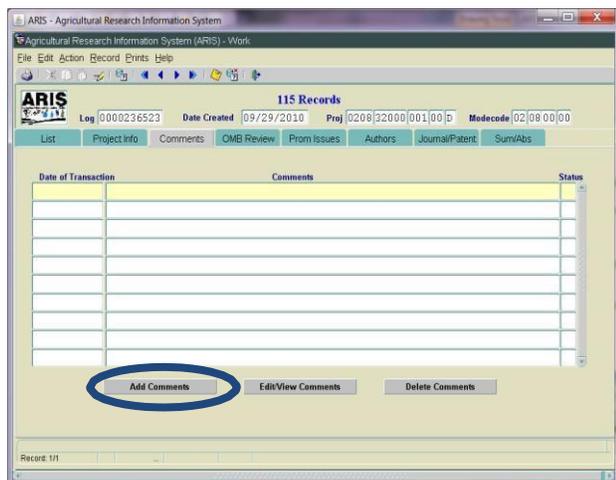


Figure 5a – Comments Screen

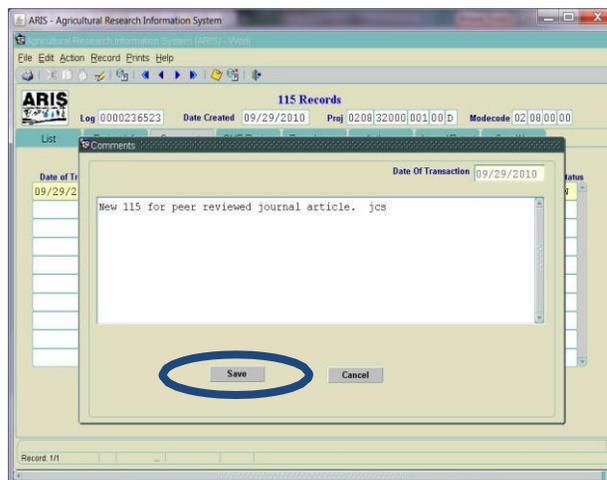


Figure 5b – Comments Entered

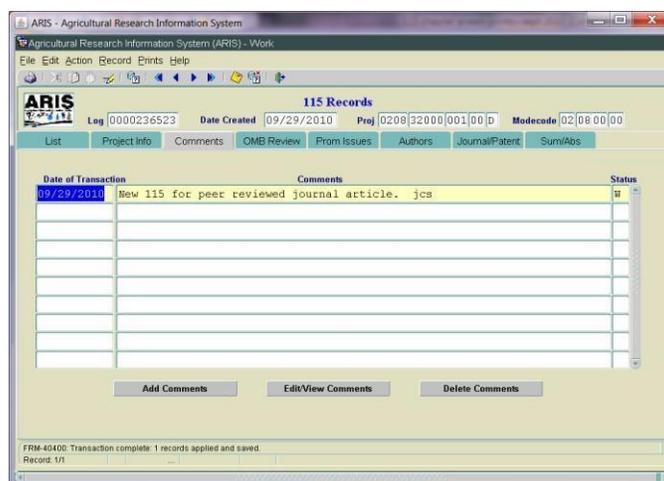


Figure 5c – Completed Comments

Once data entry is complete, select the “**Prominent Issues**” tab to move to the Prominent Issues screen (fig. 6).

### Prominent Issues

Often ARS scientific manuscripts report research findings and interpretations related to hot topic and/or other special interest topics that are prominently visible to the general public, agricultural, and/or scientific communities. Such topics can become prominent issues. However, not every manuscript on such topics may be a prominent issue.

There are five designations on the ARS-115 for Prominent Issues:

- Potential to Attract Media Attention
- Represents a Significant Scientific Advancement\*
- Significantly Affect Existing or Future USDA Policy
- Potential Trade Implications
- Other (description required)

*\*Represents a Significant Scientific Advancement: An advancement that will draw broad, robust attention to the project because of its scientific merit and/or because it changes the way we think about policy or government actions. It is not dependent on where it is published, but more importantly, what is being published.*

- If the ARS-115 relates to any one of these prominent issue designations or multiple designations, the box next to the respective designation should be checked (fig. 6a and 6b). More than one box can be checked, if applicable.

If any of these designations are marked, the ARS-115 will then automatically be indicated as “Prominent Issues” which will be displayed on the Signature page. The ARS-115 will be sent to the **Area and ONP for approval** (see pgs. 14-15 for more information on approvals). It is the responsibility of all management levels to indicate if the manuscript falls into any of these categories.

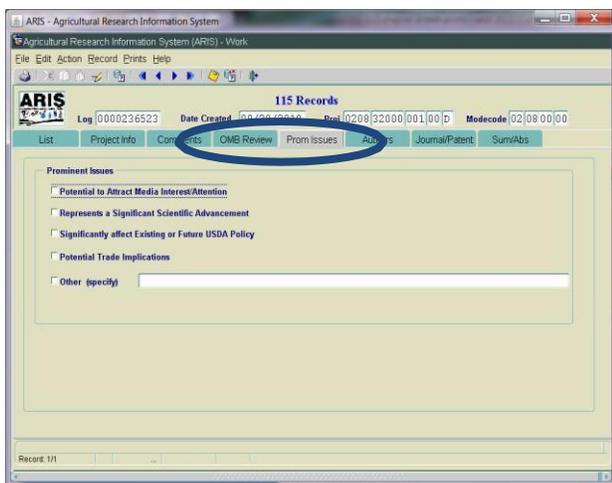


Figure 6a – Prominent Issues Screen

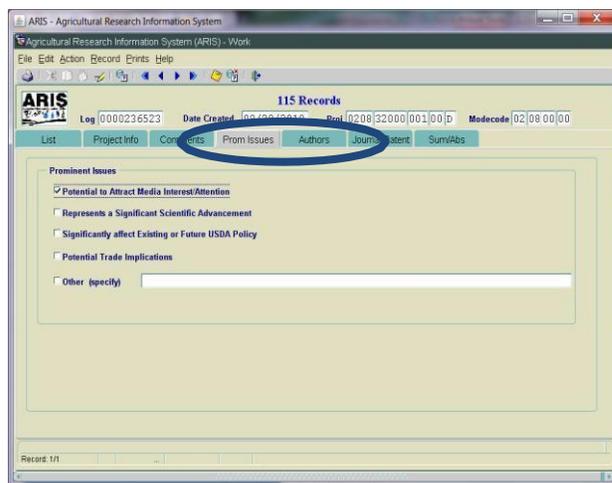


Figure 6b – Completed Prominent Issues Screen

- Once data entry is complete, select the **Authors** tab to move to the Authors screen (fig. 7a).

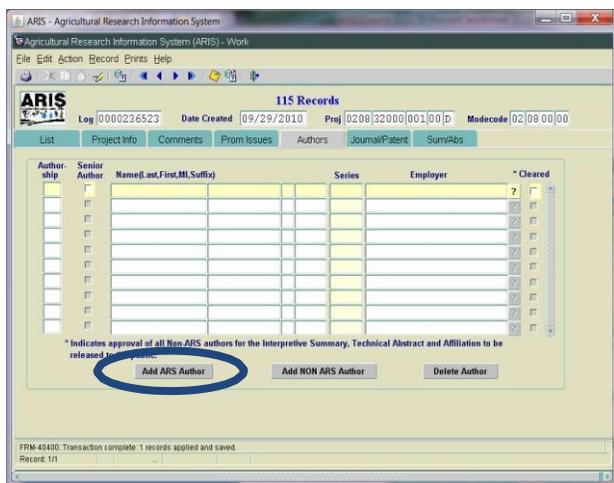


Figure 7a – Authors Screen

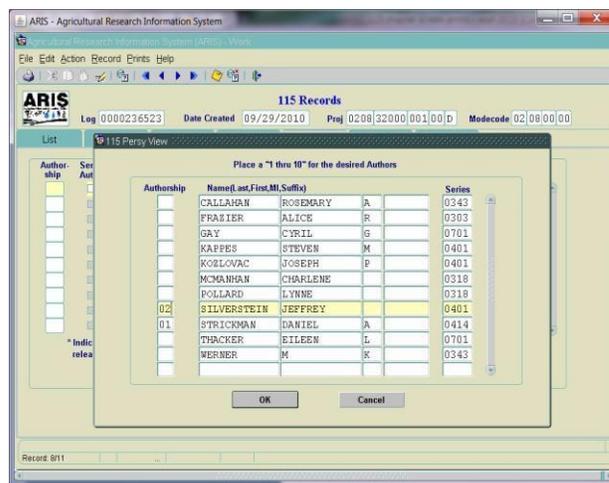


Figure 7b – List of Authors in Mode Code

- To add the ARS Authors, click the **Add ARS Author** button (fig. 7a) and a list of ARS employees within your mode code will be displayed (fig. 7b).
- Choose the ARS author(s) by entering the number of authorship (such as 01, 02, 03, etc.) next to the names of the authors on the list, then click **OK** (fig. 7b). (*Note: There can only be one author listed as first author, e.g., 01*).

- Enter a “” in the box for the Senior Author. Only one author can be noted as “senior author”. **NOTE:** It is not required to have a “senior author” designation. However, this designation should be used uniformly to ensure accuracy of data. **NOTE:** The Senior Author does not necessarily have to be the First or Last author. (see pg. 29 for more information on Senior Author designation.)

The names and authorship will be inserted on the Authors screen (fig. 7c). **NOTE:** You can enter all the ARS authors first, even if they are not in authorship order, and then add all non-ARS authors. ARIS will automatically put the authors in authorship order.

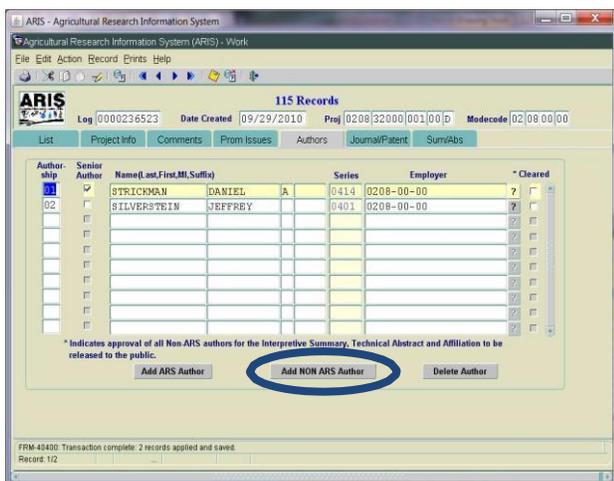


Figure 7c – Add Non ARS Author

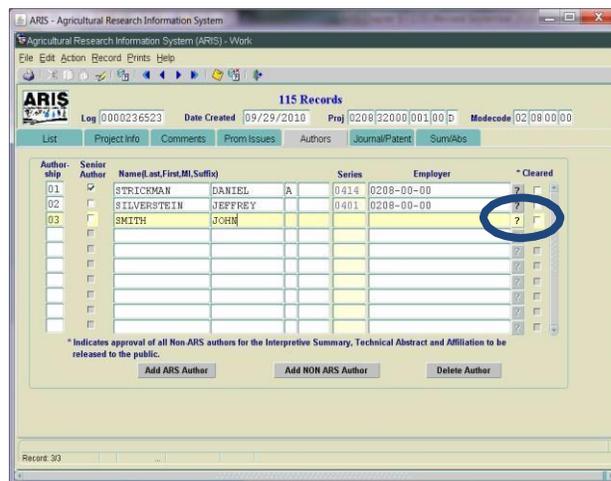


Figure 7d - Add Non ARS Author Employer

- If there are Non-ARS authors, click the **Add NON ARS Author** button (fig. 7c) and the next line on the Authors screen will be highlighted.
- Add the authorship, the Non-ARS author’s name (fig. 7d), and click the “?” to select the Non ARS Author employer from the LOV (fig. 7e).

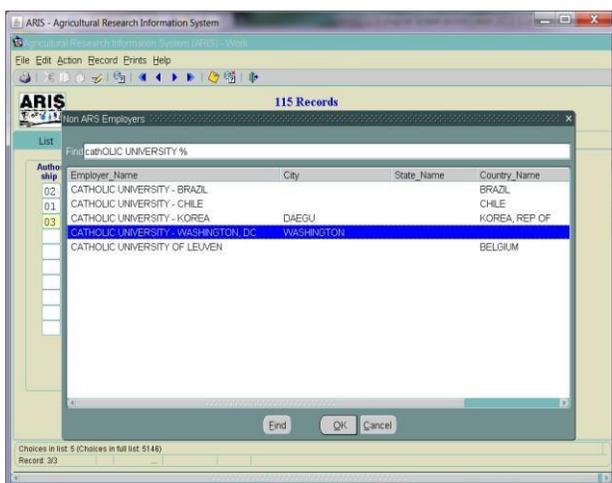


Figure 7e – Non ARS Author Employer LOV

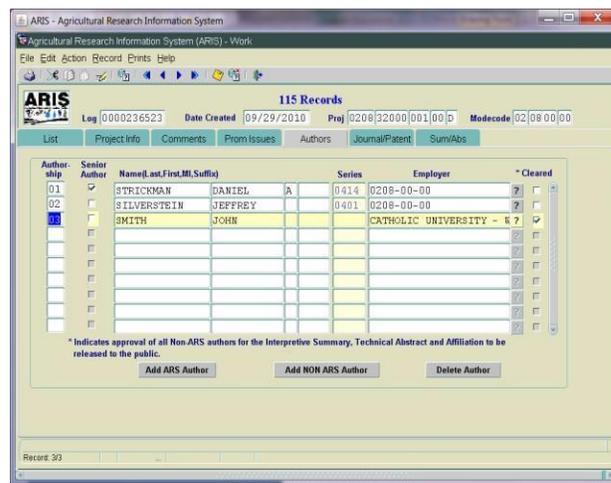


Figure 7f – Completed Author List

- Once the employer is found, highlight it and click **OK**. The employer will be inserted into the Authors screen (fig. 7f).

- If the employer is not listed in the Reference Table, contact your Area 115 Contact to have a new code established. They will verify a new code is required and will send the request to Headquarters, using the 115 Code Request Form (see Appendix 4).

If the Non-ARS Author does not have an associated employer, a generic code can be used. However, these only should be used if no other employer affiliation is appropriate. The table below indicates the available generic codes. Check to see if any other should be added to list below.

Code	Title
31815	Farmer
31638	Former ARS Employee
32962	Non ARS Employee (only use in extenuating circumstances)
12108	Retired ARS Employee
31895	Retired Non ARS Employee
31816	Consultant

- To add ARS authors from outside your mode code (if cooperative projects and publications have taken place), move to another screen by selecting another tab and then go back to the Authors screen. Click the **Add ARS Authors** button and the system will display a list of **all** ARS employees (fig. 7g).
- Search to find the author, highlight, and click **OK**. The author will be inserted into the Author screen. Add the authorship value.

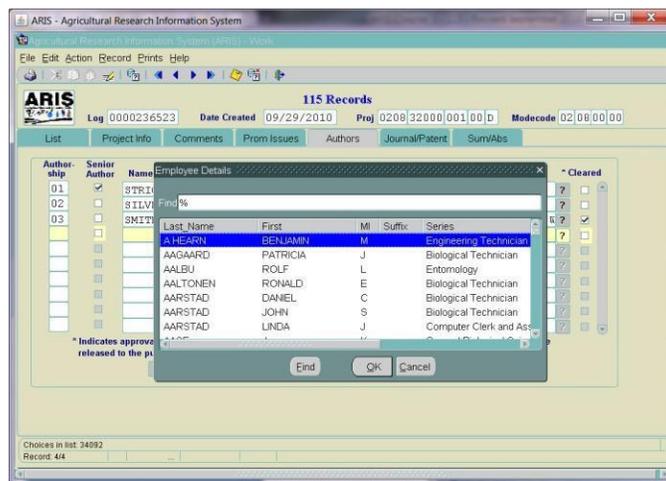
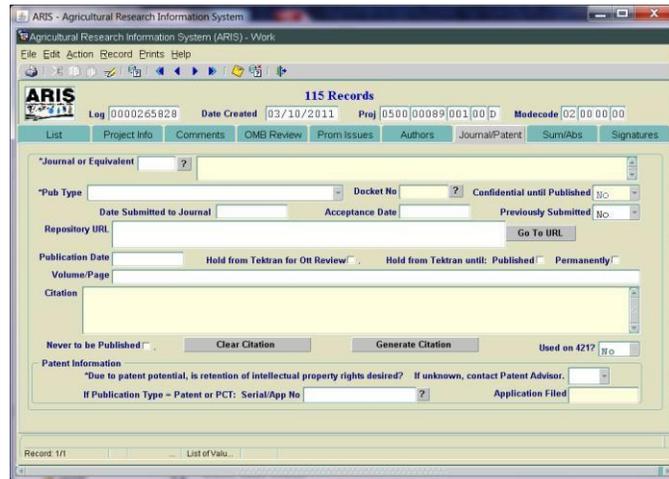


Figure 7g - List of All ARS Employees

**Note:** There is no limit on the number of authors listed on each ARS-115. However, each ARS-115 is required to have at least one author and there can only be one author with first authorship (e.g., listed as author – 01).

- If an author is entered in error, highlight the line and click the **Delete Author** button.

- For all non-ARS authors, the “**Cleared**” box to the right of their name must be checked . This indicates approval by all non-ARS authors that the Interpretive Summary, Technical Abstract, and Affiliation may be released to the public. This box must be checked for all non-ARS authors before the ARS-115 can be approved to the next level. A request to waive clearance can be submitted, but only in extenuating circumstances. An email request waiver must be sent through the Area 115 Contact to the Headquarters Program Analyst to obtain approval prior to submitting the 115. If approved, a statement must be entered in the Remarks section stating the reason for the waiver and the approval date.
- Once all authors have been entered, select the **Journal/Patent** tab, to display the Journal/Patent screen (fig. 8).



**Figure 8 – Journal/Patent Screen**

Enter the following information on the Journal/Patent screen:

(\* indicates a required field)

<p>Journal or Equivalent*</p>	<p>Enter the Journal or Equivalent Code by clicking on the “?” to choose the appropriate journal. Once the Journal Code is chosen, the journal name will propagate into the field. If the Journal Code is not listed, submit a request for a new Journal Code to your Area 115 Contact, using the 115 Code Request Form. (see Requesting a New Journal Code section of this chapter, and Chapter 16B (5)).</p>
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Publication Type*	Enter the publication type by choosing from the LOV. Choices include: Abstract (A), Book Chapter (B), Experiment Station (E), Germplasm Registration Article (H) ( <i>must have approved Plant Material Docket prior to entering this publication type</i> ), Government Publication (V), Literature Review (L), Monograph (M), Patent Application (Z) ( <i>see Patent Application information below</i> ), PCT Application (Patent Cooperation Treaty) (C), Peer Reviewed Journal (J), Popular Publication (O), Proceedings/Symposium (P), Research Notes (N), Research Technical Update (U) ( <i>only to be used with Journal Code #91858</i> ), Review Article (R), Trade Journal (T), or Other (X). <b>NOTE:</b> <i>Publication type should reflect the actual publication, not be based on where it is being published (e.g., “R” – Review Article should be chosen for a Review Article, even if being published in a peer reviewed journal.)</i>
Confidential until Published	This data will propagate automatically based on the Journal Code selected and is not modifiable. This is a requirement of the journal. If the journal or equivalent has a confidentiality requirement, then the ARS-115 will not be sent to TEKTRAN until the Publication Date has been entered and the Publication Date exceeds the current date.
Date Submitted to Journal*	This date is required prior to entering an acceptance date. This field is left blank until the publication is submitted to the journal. <b>NOTE:</b> <i>Once a date has been added and the 115 is in the Active file, this date cannot be modified. If resubmitting, the new date submitted to journal and reason for resubmission must be entered in the Comments field. Additionally, the “previously submitted” field must be changed to “yes”. NOTE: A tooltip has been added when scrolling over the field to describe the requirements.</i>
Acceptance Date*	Journal Acceptance Date is required prior to adding a publication date and citation. This field is left blank until the publication has been accepted by the journal. Once the Acceptance Date is known, it should be added on the ARS-115 (see Modifying an Active ARS-115 section of this Chapter, pg. 16-18). Once an acceptance date is entered, the publication will then go to TEKTRAN barring other “hold” flags.
Previously Submitted	Select Yes or No. The system default is No. If the manuscript has been previously submitted to a journal and/or ARS for approval, change this to Yes. <b>Note:</b> <i>If rejected by a journal and now being submitted to another journal, change to “Yes” and indicate the new submission and reason for resubmission in the Comments field. NOTE: A tooltip has been added when scrolling over the field to describe the requirements.</i>
Repository URL and Go to URL Button*	The URL for the actual reprint submitted to the NAL Digital Repository will be inserted from an automatic download from NAL data. No data entry is required.

Publication Date*	This field is left blank until the Publication Date is known. Once known, the Publication Date should be entered (see Modifying an Active ARS-115 section of this Chapter, pgs. 16-18). <i>Note: Once a publication date is entered, vol/page field and a citation will be required.</i>
Hold from TEKTRAN until Published	Check (√) this box if the ARS-115 should be held from TEKTRAN until after the manuscript is published. The ARS-115 will not go to TEKTRAN until the Publication Date has been entered or the Publication Date exceeds the current date. This field is modifiable at all levels.
Hold from TEKTRAN Permanently	Check (√) this box if the ARS-115 should never go to TEKTRAN. This field is modifiable at all levels.
Hold from TEKTRAN for OTT Review	This is not modifiable by field users. OTT will use this box to review for Intellectual Property Rights, CRADA issues, etc. If the ARS-115 is associated with a CRADA or has potential for Intellectual Property Rights, this box will automatically be checked and the ARS-115 will go to OTT for review. Once reviewed, OTT will then modify the status to allow it to go to TEKTRAN accordingly.
Volume/Page*	Enter the volume and page number information (or other information is in place of the volume/page number) for the citation. This is a required field prior to adding the citation. (e.g. 55(3):640-649). (Also see Appendix 2 for proper formatting)
Citation	Before adding the citation, the Acceptance Date, Publication Date, and Volume/Page information must be entered. Once entered, use the “ <b>Generate Citation</b> ” button to generate the citation in the proper format. The generated citation includes authors (in authorship order), publication year (which is based on the Publication Date entered), title of publication, title of journal, and volume and page numbers. <i>Any edition information, etc., must be manually entered to complete the citation. Once generated, citations should be carefully reviewed for accuracy. See Appendix 2, Citation Format, for examples.</i>
Used on 421?	This is a nonmodifiable field. The system will automatically fill it in when the 115 Log number has been used on an Annual Report (AD-421).
Never to be Published?	The box should be checked if the abstract, etc., will never be published (in print). If checked, there can be no citation and publication date entered. If the box is left blank, this indicates that it will be published at some point. <i>Note: If the publication is “never to be published” due to rejection from journal, remarks must be entered stating so.</i>

Retention of Intellectual Property Rights?*	Select Yes or No. If retention of intellectual property rights is required, choose Yes. If unsure, contact your Patent Advisor for guidance.
Patent Application Serial Number and Date Application Filed	These are required fields if the Publication Type is Patent Application or PCT Application (Patent Cooperation Treaty). The Patent Application Serial Number must be entered by using the LOV. You can either scroll down the LOV or search for a specific serial number. If the LOV does not include the serial number you are looking for, contact the Patent Advisor. The LOV will only display the numbers for the type of Application chosen. Once a serial number is chosen, the Serial Number and Date Application Filed will propagate into these fields. If the Publication Type is changed from a Patent, these fields will be cleared. <b>Note:</b> A 115 cannot be entered for a patent until the U.S. Patent and Trademark Office assigns a serial number.

- When all data is entered, select the **Sum/Abs** tab to move to the Interpretive Summary/Technical Abstract screen (fig. 9a).

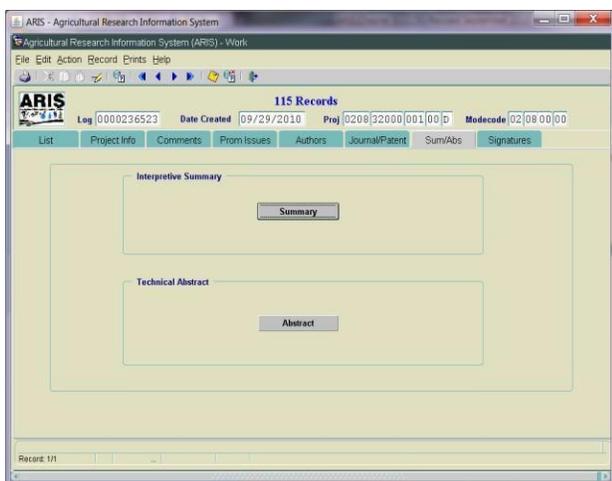


Figure 9a – Int Summary/Abstract Screen

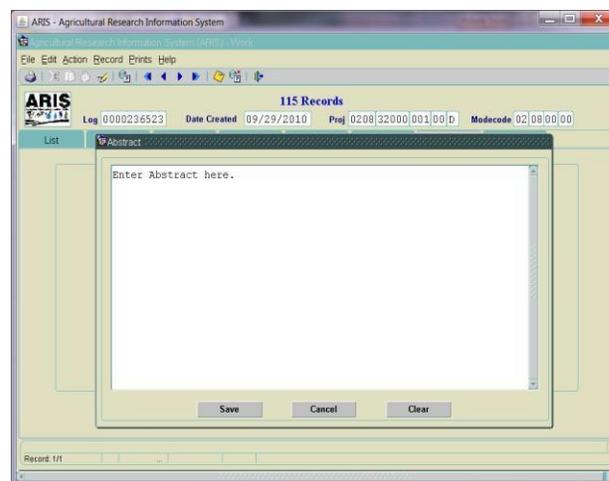


Figure 9b – Add Abstract Screen

- Click the **Summary** button and a blank Summary page will be displayed (fig. 9b).
- Add the Interpretive summary by manually typing the data in the space provided or copying and pasting the data from another source (such as Microsoft Word). **Note:** Because a separate window opens when entering the interpretive summary or abstract, you must use **Ctrl C** and **Ctrl V** on your keyboard to copy or paste. When all data entry is complete, click the **Save** button at the bottom of the screen, and you will be returned to the Summary/Abstract screen. (Field Size: unlimited)

**Note:** Scientific notation cannot be used. Also, smart quotes and automatic bullets and numbering must be turned off when using Microsoft Word to import the abstract and interpretive summary (See Appendix 4 for instructions on Turning Off Smart Quotes and Apostrophes).

- Add the Technical Abstract in the same manner as the Interpretive Summary (fig. 9a and 9b). Once complete, click the **List** tab, and you will return to the Work File List screen. (Field Size: unlimited)

The ARS-115 entry is now complete and will be displayed on your List screen.

### Uploading Related Docs

A “Related Documents” feature has been added to the ARS-115. See Appendix 1 for instructions of use of this feature. **NOTE:** Only DURC ARS-115s are required to have the “unofficial” manuscript uploaded at the time of submission. All other documents are optional.

### Field Sizes

Title	225 characters
Comments	500 characters
Citation	1,500 characters
Interpretive summary	Unlimited
Technical Abstract	Unlimited

### Printing ARS-115s

The completed ARS-115 should be printed for review and approval.

- To print, mark (√) the ARS-115 from your List screen, click **Prints** and **ARS 115**.
- ARIS will launch Adobe and display the ARS-115 print file.
- Click the Printer icon on the Adobe Toolbar.

### Approval of ARS-115s

- Once the ARS-115 has been approved through your Area’s approval process, from your Work File List screen, select the **Signatures** tab. The Signature screen will be displayed (fig. 10).
- Add the appropriate approving official’s name, date of approval, and signature remarks, and check (√) the appropriate box for approval or disapproval.
- Click the **List** tab. ARIS will prompt “**Do you want to save these changes?**” If yes, click **Save**, and you will return to your List screen.
- The ARS-115 will no longer be listed in your Work File and will be moved to the next level for approval.

The screenshot shows the ARIS Signature Screen. At the top, it displays '115 Records' and various system identifiers like 'Log 0000236527', 'Date Created 09/30/2010', 'Proj 0208|32000|001|00|D', and 'Modcode 02|08 00|00'. Below this is a navigation bar with tabs: List, Project Info, Comments, OMB Review, Prom Issues, Authors, Journal/Patent, Sum/Abs, and Signatures. The main area contains a table with the following columns: Title, Name (Last, First, MI, Suffix), Date, Prominent Issues, Approve, Disapprove, and Remarks. The rows include Research Leader, CD/ID/DAD, Area Director, Headquarters (NPL1, NPL2, NPL3), ONP DA, and OTT Director. Each row has input fields for name, date, and checkboxes for 'Approve' and 'Disapprove'. A 'Clear Signature' button is located at the bottom of the table area.

Figure 10 – Signature Screen

If an ARS-115 is marked as a Prominent Issue (in the Prominent Issues tab), the Prominent Issues box will automatically be checked on the Signature screen. If marked as Prominent Issues, it will go to the Area and ONP for review and approval.

A “Y” in the “**Prominent Issue**” box ensures line and program management are informed of the publication. It does not withhold information from publication or from public release through TEKTRAN.

All other ARS-115s will bypass ONP and go directly to the Active file with the exception of the 115s associated with projects coded to DURC. These will also come to the Area and ONP for approval.

### Official Approval Dates:

Official approval dates are as follows:

115s designated as Prominent Issues and/or DURC	ONP final approval date
All other 115s	RL or CD (if in approval process) level approval date

### ARS-115 Status

To see where an ARS-115 is in the approval process, from the **Research Documentation** screen, select **Status** and **115** (fig. 11a).

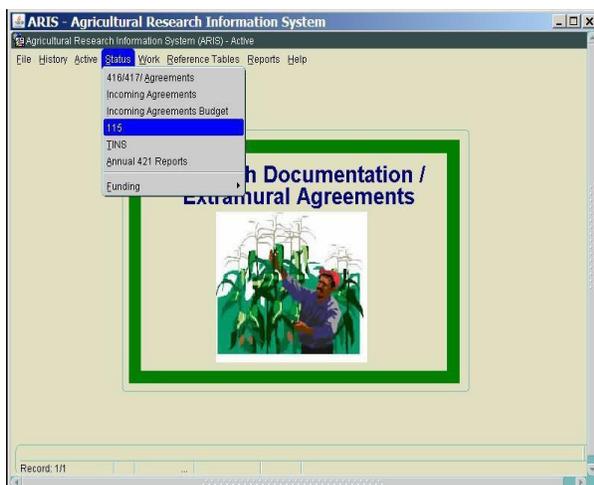


Figure 11a – Work Status

Project No.	Creation Date	Log No.	Modecode	Submission Level	Date Mod	User
.0212 22000 023 00 D	10/19/2010	0000236529	02 12 05 00	Area Level	11/01/2010	USDA
.0212 22000 023 00 D	09/30/2008	0000233044	02 12 05 00	Approved	11/01/2010	USDA
.0211 22000 006 00 D	09/24/2008	0000232635	02 11 05 00	Area Level	11/01/2010	USDA
.0212 22000 023 00 D	01/10/2008	0000222276	02 12 05 00	Area Level	11/01/2010	USDA
.0212 22000 023 00 D	01/10/2008	0000222279	02 12 05 00	Area Level	11/01/2010	USDA
.0211 22000 006 00 D	06/17/2008	0000228064	02 11 05 00	Area Level	11/01/2010	USDA
.0212 22000 022 00 D	06/05/2008	0000227732	02 12 05 00	Approved	11/01/2010	USDA
.0212 22000 023 00 D	10/26/2010	0000245541	02 12 05 00	Area Level	10/26/2010	JCSTETKA
.0208 32000 001 00 D	09/12/2010	0000236518	02 08 00 00	NPS Level	10/21/2010	TLEE
.0208 32000 001 00 D	09/29/2010	0000236523	02 08 00 00	NPS Level	10/21/2010	JCSTETKA
.0211 22000 006 02 R	10/21/2010	0000236535	02 11 00 00	RL Level	10/21/2010	JCSTETKA
.0212 22000 023 00 D	10/20/2010	0000236532	02 12 05 00	Area Level	10/20/2010	JCSTETKA

Figure 11b – Status List Screen

A list of all ARS-115s currently at any level in the Work process will be displayed (fig. 11b). Anyone with ARIS access for the unit can view the Status file.

- Scroll down to find the appropriate ARS-115 Log Number or query by clicking on **Action and Query Screen**. A query screen will be displayed (fig. 11c).
- Enter the query criteria (log number, mode code, project number, etc.) and execute the query. It is best to search by log number, if known. If not known, enter as much information in the query screen as possible to narrow the search.

- When the query is executed, the List screen will display all the ARS-115s that meet the criteria entered. Once the appropriate ARS-115 is displayed, you can see Submission Level. **Note:** You can only view and/or print from the Status screen. You cannot modify in Status.

Figure – 11c – Query Screen

#### Submission Levels:

<i>RL Level</i>	Research Leader Work File
<i>CD/LD/DAD Level</i>	Center or Location Work File
<i>Area Level</i>	Area Office Work File
<i>NPS Level</i>	Office of National Programs Work File
<i>OTT Level</i>	Office of Technology Transfer Work File
<i>Approved</i>	Approved (will be moved to the Active File through the overnite process)

#### Modifying Active ARS-115s

##### *(Adding Date Submitted to Journal and/or Acceptance Date Directly in Active File)*

Completion of many fields is needed at different times during the ARS-115 progression and are required in a sequential order. Since addition of data in these fields does not require approvals, the data can be added directly into the Active record. These fields include: Date Submitted to Journal and Acceptance Date.

*Note: If no formal acceptance date is received, use of presentation date is acceptable.*

- To add the Date Submitted to Journal and/or Acceptance Date from the Active file, select **Active** and **115** (fig. 12a). The query screen will be displayed.
- Enter the Log # or other search criteria to find the appropriate 115 (fig. 12b) and click **Query** and **Execute**.

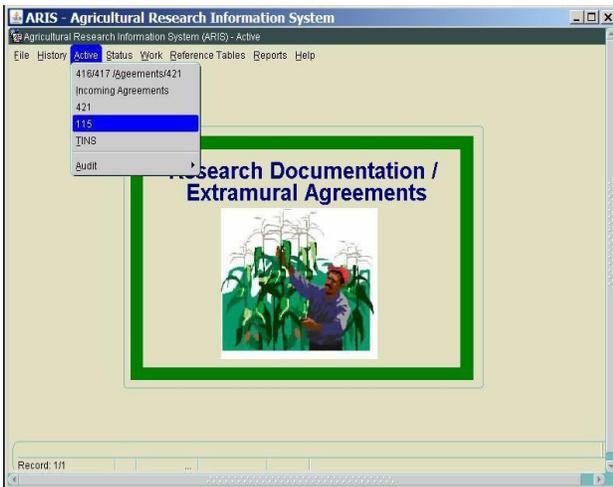


Figure 12a – Active 115

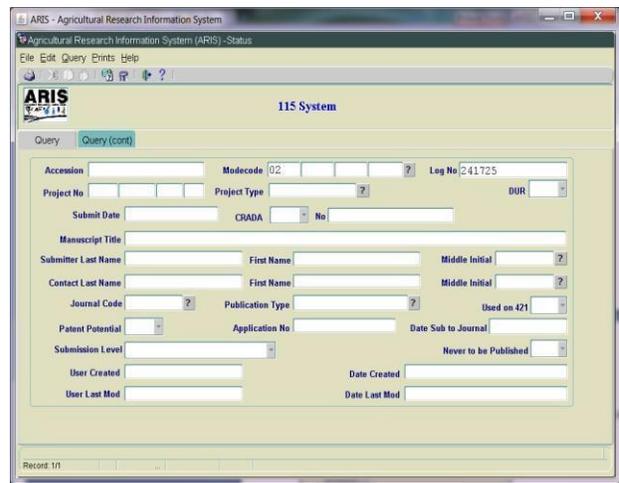


Figure 12b – Query Screen

- The List screen will be displayed. Mark the record  to be modified, select **Action**, and **Update Date Submit/Acceptance Date** (fig. 12c). The Update Dates screen will be displayed (fig. 12d).

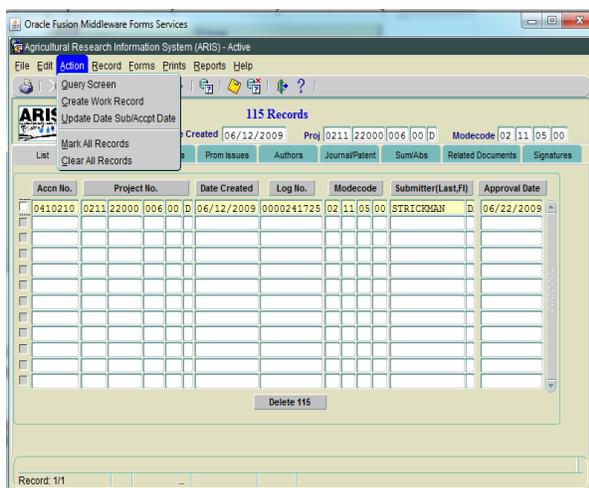


Figure 12c – Updates in Active

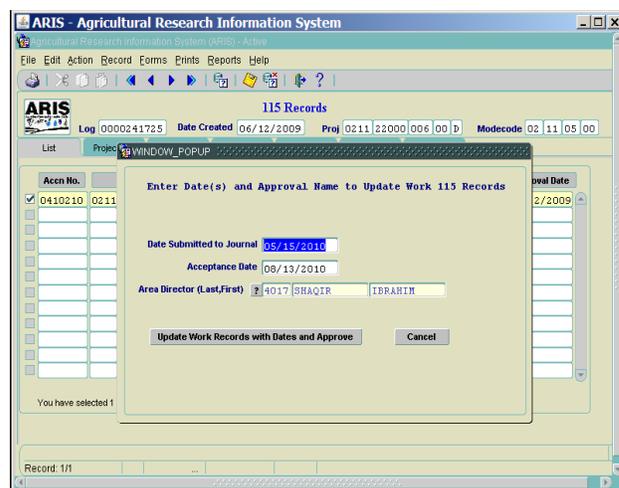


Figure 12d – Update Screen

- Enter the Date Submitted to Journal, and/or Acceptance Date.
- Enter the approval name, or select from the LOV if Area or ONP (fig. 12d).
- Click the **Update work Records with Dates and Approve** button. The system will automatically generate a comment for the action (fig. 12e) and mark the record as approved.

**Note:** Date Submitted to Journal is required prior to or at the same time as entering the Acceptance Date.

The “Date Submitted to Journal” cannot be modified once the 115 is in the Active file. If an attempt is made to modify, a message indicating “Date submitted to journal cannot be modified” will be displayed.

If resubmitting to another journal, follow guidance on pg. 18-20. The “previously submitted” field must be changed to “Yes” and comments must be entered in the Comments field indicating the new submission date and reason for resubmission.

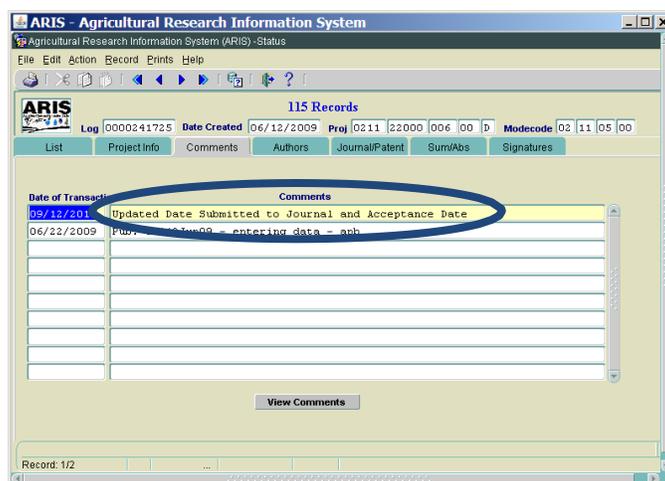


Figure 12e – Update Dates - Comments

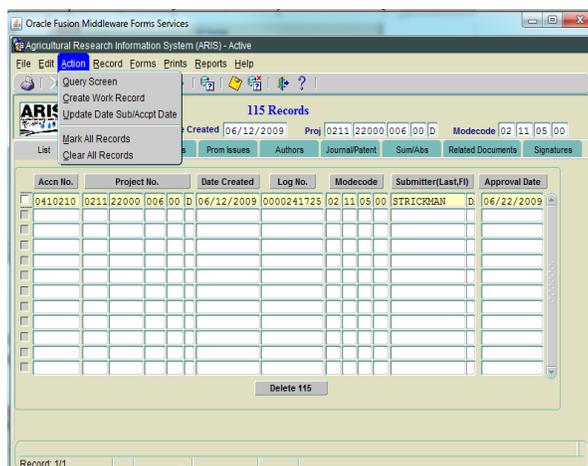
### Revising ARS-115s – Creation of Work Records

To modify an active (previously approved) ARS-115, a work record must be created from the active ARS-115.

- From the Research Documentation screen, click **Active** and **115**. A query screen will be displayed (fig. 13a).

Figure 13a – Active Query Screen

- Query for the specific ARS-115 that needs to be modified by entering the Log Number. If the Log Number is unknown, enter other information in the query screen to obtain the correct ARS-115.



**Figure 13b – Active File List Screen**

- Execute the query by clicking the **Execute Query** button or by pressing **Return** on the keyboard. The ARS-115(s) will be displayed on the List screen.
- Mark the ARS-115 to be modified by placing a check  in the box to the left of the project number, then click **Action** and **Create Work Record** from the Toolbar (fig. 13b).
- ARIS will prompt, “**Do you want to continue creating work records?**” Click **Yes** and the message “**Marked Record Processing is Complete**” will be displayed.

Exit your Active File and go to your 115 Work File. Locate the work record you created and modify as necessary. Once all modifications have been made, the ARS-115 should be printed for review and approved through your Area approval process.

If any of the following seven fields are the **only** fields modified, the ARS-115 will not have to go through the approval process again:

1. Date Submitted to Journal
2. Acceptance Date
3. Publication Date
4. Citation
5. Remarks
6. Repository URL
7. Volume/Page

Once the ARS-115 is approved at the RL Level, the ARS-115 will move to the Active File through the overnight process.

### ***Adding Date Submitted to Journal, Journal Acceptance Date, Publication Date, and Citation Information***

Adding the Date Submitted to Journal, Acceptance Date, Publication Date, and Citation information is an integral part of the completion of the 115 process. Entry of data in these fields does not require the 115 to go through the approval process. Once each respective date is known/met, the information should be entered on the 115 (also see pgs. 16-18 for adding dates directly in active). Once the Publication Date is known, the Publication Date and volume/page information must be entered and the Citation can be generated.

The information in the citation field will propagate to the Annual Reports (during Annual Report data entry) if the ARS-115 is referenced on an Annual Report. Therefore, it is very important to add this information accurately and in a timely manner.

- To add Date Submitted to Journal, Journal Acceptance Date, Publication Date, and/or citation information, create a work record as explained above for the appropriate ARS-115.
- From the Work File List screen, highlight the ARS-115 that needs to be modified.
- Select the “**Journal/Patent**” tab to display the Journal/Patent screen (fig. 14a).

The screenshot shows the ARIS web interface for editing a record. The title bar reads 'ARIS - Agricultural Research Information System'. The main header includes 'ARIS' logo and '115 Records'. Below this, there are navigation tabs: 'List', 'Project Info', 'Comments', 'From Issues', 'Authors', 'Journal/Patent' (selected), 'Sum/Abs', and 'Signatures'. The form contains several input fields and checkboxes:

- Journal or Equivalent:** Zootaxa
- Pub Type:** Peer Reviewed Journal
- Date Submitted to Journal:** 04/20/2010
- Acceptance Date:** (empty)
- Publication Date:** (empty)
- Volume/Page:** (empty)
- Citation:** (empty)
- Never to be Published:**
- Used on 421?:** No
- Patent Information:** Due to patent potential, is retention of intellectual property rights desired? If unknown, contact Patent Advisor. No
- Application Filed:** (empty)

**Figure 14a – Journal/Patent Tab**

- Add the pertinent data.
- After adding the Publication Date and Volume/Page information, when saving, ARIS will prompt you to enter the citation information.
- To create the citation, the Acceptance Date, Publication Date, and Volume/Page fields must be entered (**Note:** DO NOT put any punctuation at the end of the volume/page information).
- Once entered, you **MUST** click the “**Generate Citation**” button to initially generate the citation. The citation generated by ARIS is a complete citation. **However, you must review for accuracy of capitalization, and any additional information that may need to be added (fig. 14b).**
- **If modifications are necessary to the citation**, double click in the citation field. This will enable you to view the whole citation in an Editor Box and more easily modify as necessary (fig. 14c).
- Click **OK** after you have completed the modifications to the citation. **Note:** *It is very important to check for accuracy as this data propagates to the AD-421s and the web.*

The screenshot shows the ARIS interface for record 115. The 'Citation' field contains the text: "Remes Lenicov, A., Hernandez, M. 2010. A new species of Taosa (Hemiptera: Dictyopharidae) from South America associated with Water Hyacinth. Annals of the Entomological Society of America. 103(3):332-340." Below the citation field, there are buttons for "Never to be Published", "Clear Citation", "Generate Citation", and "Used on 421?". The "Generate Citation" button is highlighted.

Figure 14b – Generate Citation

The screenshot shows the same ARIS interface, but with an editor box open over the citation field. The editor box contains the same citation text and has "OK", "Cancel", and "Search" buttons. The "Generate Citation" button is no longer visible.

Figure 14c – Editor Box

**Note:** If the citation field already contains information and the “**Generate Citation**” button is clicked, ARIS will not overwrite the existing citation. You must Clear the existing citation, then generate the new citation.

- After all the information is entered, click the **List** tab, and ARIS will prompt, “**Do you want to save these changes?**”
- Click **Save** and you will be returned to the List screen.
- On the Signature screen, add the approving official’s name and date of approval. The record will move to the Active File through the overnite process. However, if any other fields are touched and/or modified, the record will have to go through the approval process again.

The publication will not go to TEKTRAN until the Acceptance Date is entered **AND** no other holding conditions are designated. Other holding conditions explained on page 12 may hold the manuscript from TEKTRAN temporarily or permanently.

## Journal Codes

### Query for a Journal Code

Before entering a new ARS-115, verify that a Journal Code is established for the specific journal or publication where the manuscript will be submitted.

- From the Research Documentation screen, click **Reference Tables, Misc., and Journals** (fig. 15a).

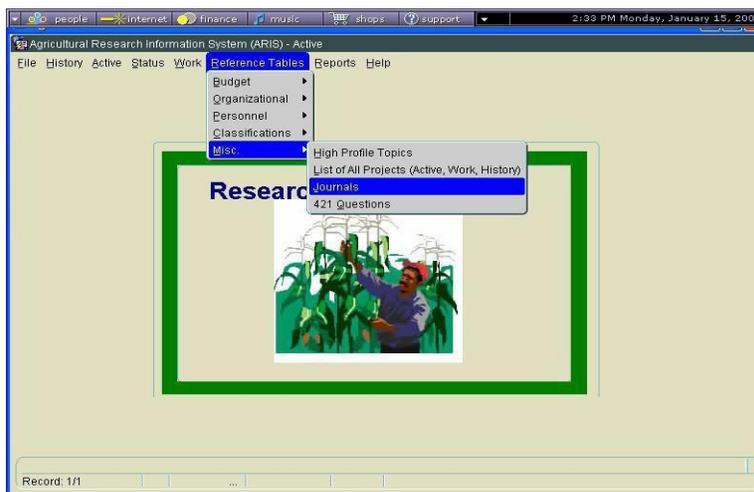


Figure 15a – Journals Reference Table

- The Reference Table with all Journal Codes will be displayed (fig. 15b).

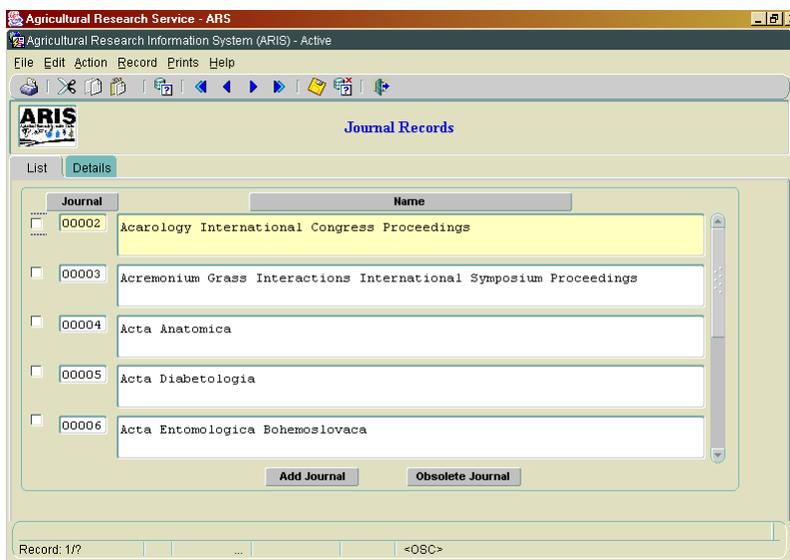


Figure 15b - Journal Code Reference Table

- To query for a specific journal, click **Action** and **Query Screen** on the Toolbar to display a query screen. Even if you are sure of the journal name, it is best to use the wildcard “%” before and after the query string. To query, enter a part of the journal name with a “%” at the beginning and end of the search string under “**Journal Name**”. For example, if you want to find all the Journal Codes with the word “phytopathology” in the title, enter %phytopathology% in the Journal Name section of the query screen (fig. 15c).
- Press enter or click the **Execute Query** icon.

The screenshot shows the 'Journal Records' query screen in the ARIS system. The 'Journal Name' field is populated with '%PHYTOPATHOLOGY%'. Below the form, the status is set to 'Active' and the status date is empty. The record count at the bottom left is 'Record: 1/1'.

**Figure 15c – Query for “Phytopathology”**

- A list will be generated of all the Journal Codes with the word “phytopathology” somewhere in the title (fig. 15d). To sort the list in ascending numerical order, click the “**Journal**” header. Click again to sort in descending order. Click the double right arrows on the tool bar to scroll to the last record found. Notice the number of records found (Record Count) will be displayed at the bottom left corner of the screen.

The screenshot shows the query results for 'Phytopathology'. The results are displayed in a table with columns for 'Journal' and 'Name'. The 'Journal' header is selected, and the record count at the bottom left is 'Record: 13/13'.

Journal	Name
<input type="checkbox"/> 08845	Proceedings Southern Region American Phytopathology Society
<input type="checkbox"/> 89042	Mexican Journal of Phytopathology
<input type="checkbox"/> 89738	Phytopathology Supplement; APSnet (Plant Pathology Online)
<input type="checkbox"/> 89765	Phytopathology
<input type="checkbox"/> 89777	Archives of Phytopathology and Plant Protection

**Figure 15d - Query Results for “Phytopathology”**

- It is helpful to view the **Details** tab on the Journal Records screen to verify you have selected the correct Journal Code. The search for Journal Codes with “phytopathology” in the title has listed two possible journals to select, 02068, Phytopathology and 04687, Journal of Phytopathology (fig. 15e).

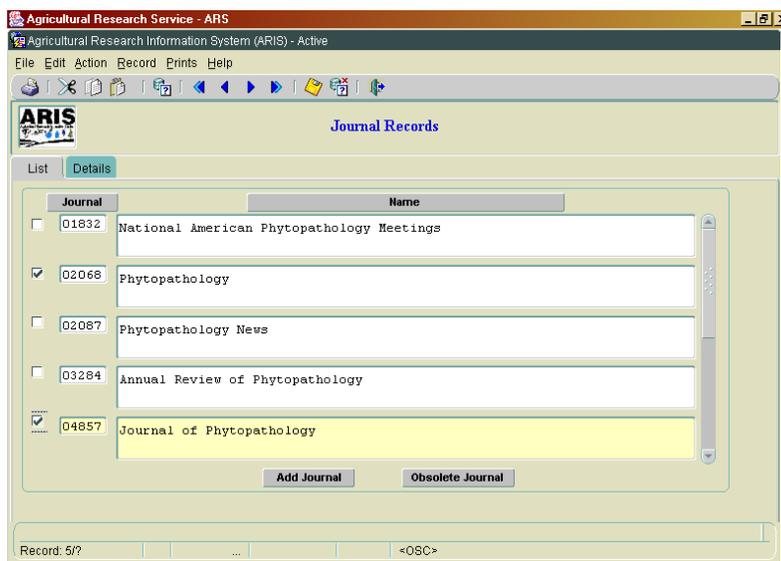


Figure 15e - Journals Found for Phytopathology

Select the appropriate journal code by checking the box to the left of the code or by clicking in the Journal box or Name box on the Journal Records List Screen. Click the “**Details**” tab to view additional information about the selected journal code (fig. 15f).

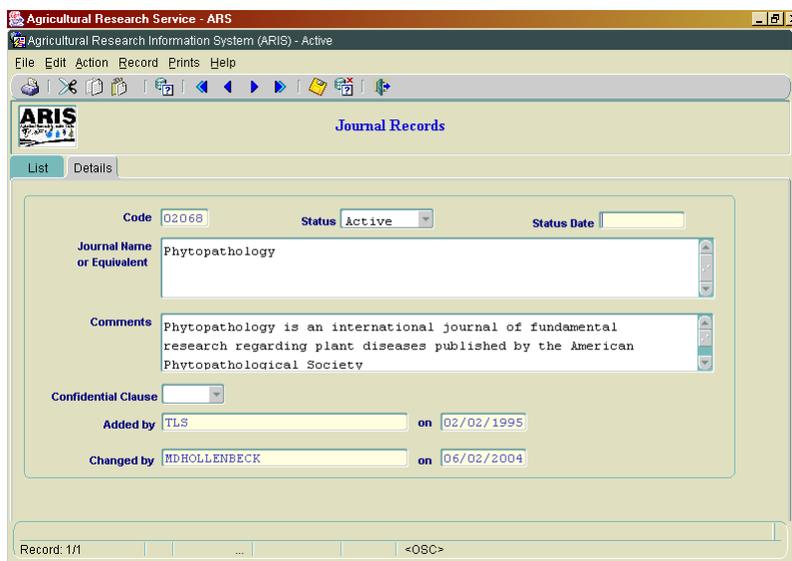


Figure 15f - Details Tab Information

### ***Requesting a New Journal Code***

When you are unable to find the Journal Code that you need, contact your Area 115 Contact to have a new Journal Code established. The Area 115 Contact will verify that a new Journal Code is required and will send a request to Headquarters to establish the new Journal Code using the 115 Code Request Form. All fields on the Code Request Form must be completed.

(**NOTE:** See Use of Generic Codes section regarding establishment of new codes for meetings).

### ***Confidentiality Clause Status***

This information is added to the “Details” tab of the Journal Code to serve as additional criteria to select the appropriate Journal Code. The confidentiality clause status (Yes or No) is specific to each journal. This clause states that the publication must be kept confidential until the journal has published it. To determine if a journal has a confidentiality clause, call the journal directly, search the journal’s website, and/or ask the scientist to obtain this information.

### ***Use of Generic Journal Codes***

Journal codes for recurring meetings, workshops, congresses, symposiums, etc., will be entered without year dates or meeting number designations. For example, “5<sup>th</sup> International Meeting of Insect Physiologists” will be entered as “International Meeting of Insect Physiologists” and “2004 Proceedings of the Methyl Bromide Emissions Reduction Workshop” will be entered as “Proceedings of the Methyl Bromide Emissions Reduction Workshop”. When the citation is generated, the citation should be modified and the year or number of the meeting added, if applicable.

***NOTE: New codes will NOT be established for meetings that are not recurring. The generic “meeting abstract” code (04466) should be used. When and if a citation is generated, the meeting and/or publication name can then be modified directly in the citation field.***

If, at the time of submitting an ARS-115, the name of the publication has not been determined or is not known, use the appropriate generic Journal Code as listed in the Currently Available Generic Journal table below. Generic journal codes should only be used when the publication is not first formal report of original research. Describe the publication in the remarks section of the ARS-115.

Remarks: “Abstract only to be presented at the USDA, ARS Workshop on Fusarium Head Blight of Wheat, July 4-7, 2011 in St. Louis, MO.”

When a publication results and the name of the publication is known, request the specific journal code. When the acceptance date is added to the ARS-115, modify the generic code to the newly established specific code.

The generic Journal Codes are “Confidentiality - No” by default. If the scientist, organization, or publisher requires confidentiality until published and a generic code is used, check  the “Hold from Tektran until Published” box. When you add the publication date and citation, remove the check .

*List of Generic Journal Codes*

<b>Journal Name</b>	<b>Journal Code</b>
Agricultural Experiment Station Publication	08969
Agricultural Research Service Station Bulletin	03291
Agriculture Handbook	03233
ARS Publication	00050
Book Chapter	03708
CD ROM	04317
Complete Book	04321
Electronic Publication	06844
Experiment Station Bulletins	00856
Extension Circular	00865
Extension Fact Sheets	00867
Extension Publications	00868
Extension Reports	00869
Extension Service Bulletin	00870
Germplasm Release	05659
Government Publication/Report	90148
Home Page	04862
Invention Report	05684
Laboratory Publication	01630
Meeting Abstract	04466
Meeting Proceedings	89158
PhD Dissertation	05272
Popular Publication	90145
Review Article	90146
Science and Technical Review	02299
Software and User Manual Public Release	89180
Survey Notes	04795
Symposium Proceedings	02978
Trade Journal Publication	90147
Workshop Proceedings	88918
World Wide Web	04864

*ARS-115 Template*

When entering an ARS-115, it is beneficial to have all the information at your fingertips before beginning the data entry process. To ensure you have all the information, print an ARS-115 Template form that you can give to the scientist to fill out or that you can use as a reference to facilitate data entry from (<http://www.arsnet.usda.gov/ARIS/Manual/Chapter16B-Manuscript-Template.doc>), or from the Research Documentation screen, click **Reports**, **Blank Forms**, and **115 Template**. The template will open directly in Word.

## Blank ARS-115 Form

To print the blank ARS-115 form, from the Research Documentation screen, click **Reports, Blank Forms**, and **115**. Adobe Acrobat will launch and display the Blank ARS-115. To print the form, click the printer icon.

## 115 History

The ARS-115 History file is used to retain 115s that are 10 years past the original approval date. Therefore, once the 115 reaches that 10-year point, the 115 is moved from the Active file to the History file. The History file is searchable and 115s can be printed from there. However, work records cannot be created and cannot be modified. (**Note:** *If modifications are necessary to 115s in History, contact the Area 115 contact to work with Headquarters to modify as necessary*).

## General Information

### Acronyms, Publication Types and Definitions

Term/Acronym	Definition
Abstract	Brief technical description of an oral or poster presentation printed in a meeting announcement, proceedings, or program and not accompanied by a full-length manuscript.
AD-421	Annual Report.
ARS-115	Request to Submit Manuscript for Publication.
Book Chapter	A manuscript submitted to a publisher for inclusion in a book as a chapter.
Dual Use Research of Concern (DURC)	Life sciences research that, based on current understanding, can be reasonably anticipated to provide knowledge, information, products, or technologies that could be directly misapplied to pose a significant threat with broad potential consequences to public health and safety, agricultural crops and other plants, animals, the environment, materiel, or national security.
Experiment Station	A manuscript submitted to a state experiment station, e.g., bulletin, newsletter, note, data sheet, special report.
Germplasm Registration Article	An article providing a thoroughly documented description of new plant material that has been made available for research and breeding purposes. Plant materials include plant cultivars, parental lines, germplasm, genetic stocks, or mapping populations. These plant materials must have been released for use and samples deposited into the USDA-ARS National Center for Genetic Resources Preservation (NCGRP) collection for long-term preservation and to facilitate distribution of the material. <b>NOTE:</b> <i>Docket # from Plant Materials Docket system required when entering the ARS-115.</i>

Term/Acronym	Definition
Government Publication	A manuscript to be published in a government publication such as an Agency or multi-Agency report, state government report, library report, etc.
Interpretive Summary	Brief explanation of the reason for the research and the accomplishments and significance of the research in language intelligible to the general public.
Literature Review	A summary and interpretation of the current literature for research on a particular subject; does not present research by the authors.
Manuscript	A scientific paper authored or co-authored by ARS scientific personnel that describes or reviews scientific research and is intended for publication: in a scientific journal; in a semi-technical or trade journal; as a scientific literature review or book chapter; as a popular article; in a meeting or symposium proceeds or workshop report.
Monograph	A manuscript submitted to a publisher as a scholarly book on a single, usually limited subject.
Original Scientific Paper	A manuscript, other than an abstract, that is the first formal report of research results.
Other (publication type)	A publication that does not fit into the other categories.
Peer Reviewed Journal	A manuscript submitted to a journal in which the manuscripts are sent by editors to multiple scientific experts in the field of research to determine acceptance for publication.
Popular Publications	Manuscripts that are not peer-reviewed, are informational in nature, and written for the lay person.
Proceedings/Symposium	Manuscripts submitted for publication by the organizers of scientific meetings or symposia in a typically non-peer-reviewed format.
Prominent Issues	There are five designations on the ARS-115 for Prominent Issues: 1) Potential to Attract Media Attention; 2) Represents a Significant Scientific Advancement; 3) Significantly Affect Existing or Future USDA Policy; 4) Potential Trade Implications; or 5) Other. <i>NOTE: Any 115s that were designated as “high profile” prior to implementation of Prominent Issues will be marked as “Other”.</i> The prominent issues designation ensures that all management is aware of any upcoming publications/presentations that have potential to draw attention and/or have other potential implications. <b>These require Area and ONP approval.</b>
Research Notes	Short descriptions of current research findings, and/or observational information on new techniques or incidental discoveries that generally precedes a research article.

Term/Acronym	Definition
Research Technical Update	Only used with Journal Code #91858-Natural Resources Research Update – which transfers the latest ARS research results in Natural Resources. Note: it is a compilation of research updates, not reporting of original research.
Review Article	A review and summary of the current state of the research on a particular subject matter. Often sites a literature review.
Senior Author	The author who leads the study/research, has primary responsibility for conduct of the research, has authority to make the final decisions on design analysis and interpretation of results, even if aided by others, and makes a major contribution to the work. Generally directs, oversees, and guarantees authenticity of work reported and takes responsibility for accuracy, validity, analysis and conclusions. The Senior author should be determined at the outset of the project by all authors involved. Not all ARS-115s may have an ARS SY as Senior Author, as the Senior Author may be an author from outside the Agency.
Technical Abstract	Brief technical description that accompanies a full-length manuscript.
TEKTRAN	Technology Transfer Automated Retrieval System.
Trade Journal	A non-peer-reviewed manuscript submitted to a trade journal.

### ***Timely Submission of ARS-115***

The submission of the ARS-115 **MUST** be fully approved before any manuscript is submitted to a journal and/or published. In addition, scientists giving presentations outside ARS/USDA must receive ARS approval through the ARS-115 process before giving the presentation at the meeting.

### ***Duplicate ARS-115s***

If there are duplicate ARS-115s in ARIS, please notify your Area Program Analyst of the Log Numbers of the ARS-115s to keep and the ARS-115s to delete. Your Area Program Analyst will verify that the ARS-115 is a duplicate and send a request to the Headquarters staff to have the duplicate ARS-115s deleted. Duplicate ARS-115s are the only ARS-115s that are deleted from ARIS. Only Headquarters staff has access to delete ARS-115s. Headquarters staff will inform the Area Program Analyst when the ARS-115 has been deleted. If the ARS-115 is linked on an Annual Report (AD-421), it cannot be deleted.

### ***Rejection of a Publication***

When a publication is rejected by a journal, the ARS-115 **will remain** in the Active File and **is not** deleted from ARIS. If the same manuscript is submitted to another journal for publication, the ARS-115 should be modified to show the new journal code and journal name. Change “**Previously Submitted**” to “**Yes**”, and modify any other appropriate information. **Note in the Comments field that the manuscript was previously submitted to another journal. Provide the name of the original journal, the name of the new journal, the new submission date, and the reason for resubmission.** NOTE: The “Date submitted to journal field” cannot be modified from the original submission date. If the publication is not going to be resubmitted, mark the box “never to be published” and no other action is necessary.

### ***Link to Annual Reports (AD-421)***

Each publication listed on an Annual Report (AD-421) is required to have a completed ARS-115 (including citation) approved in ARIS. The citation information from the ARS-115 propagates into the Annual Report (AD-421) when the log number is referenced on the Annual Report. Therefore, it is important to enter ARS-115s in ARIS in a timely manner. This will reduce the data entry burden at Annual Report time.

### ***Patentable Information***

If the information published or presented has patent potential, the ARS-115 block “Due to patent potential, is retention of intellectual property rights desired?” should be answered “Yes”. If answered “Yes”, the ARS-115 will move to the Active File in ARIS upon completion of the approval process through OTT. The ARS-115 will be held in the Active File during the review process by the Patent Advisor and indicated as “Hold from TEKTRAN for OTT Review. While in the Active File, the publication may be viewed by anyone in ARS who has access to ARIS. The publication will not be moved to TEKTRAN until after a patent has been filed or a determination is made that no patent will be filed and, at that time, may be viewed by anyone who has access to TEKTRAN. Once OTT determines there are no issues, they will remove the check and the record will then be viewable barring any other holds.

### ***Criteria for Moving ARS-115s to TEKTRAN***

The ARS-115/TEKTRAN system records are moved to history when the ARS-115 Approval Date exceeds 5 years.

ARS-115s will **NEVER** Go to TEKTRAN when the “**Hold from TEKTRAN Permanently**” box is checked.

ARS-115s will go to TEKTRAN after the following conditions are met:

1. When the Publication Type is a Patent and the Application Date plus 18 months is less than the current date.
2. When the “**Hold from TEKTRAN until Published**” box is checked, the Publication Type is not a Patent, and the Publication Date is less than the current date.
3. When the Confidential Clause on the chosen Journal Code is marked “**Yes**”, the Publication Type is not a Patent, and the Publication Date is less than the current date.
4. When the Publication Type is not a Patent, the conditions in No. 2 and No. 3 are met, if applicable, and the Journal Acceptance Date is less than the current date.

***Authorship Involving Other Areas or Research Units***

If a publication has cooperative research and ARS authors in more than one Management Unit and/or Area, the ARS-115 should **ONLY** be entered in ARIS by the **first ARS author in the list of authors** and will be associated with the inhouse project and Mode Code for that SY. Each ARS author listed **SHOULD NOT** enter a separate ARS-115.

***Matrix for Data Entry Determinations***

An ARS-115 is **NOT** required for oral or poster presentations given within **ARS/USDA**.

If presenting ARS research to outside ARS, an ARS-115 is required for a presentation, even if not published (in print).

If an abstract is in a meeting book or proceedings, an ARS-115 is required.

Manuscripts that are “**first formal report**” of original scientific research require an interpretive summary be included in the ARS-115 (see P&P 152.1). An interpretive summary is not required for literature reviews, book chapters (unless first formal report of original research), or book reviews.

Use the Matrix below to determine how to answer the “**First Formal Report other than Abstract**” question on the ARS-115 and if an interpretive summary is required for the specific publication type.

<b>Publication Type</b>	<b>First Formal Report*</b>	<b>Interpretive Summary</b>	<b>Technical Abstract</b>
Peer Reviewed Journal	Yes	Yes	Yes
Abstract	No	No	Yes
Proceedings/Symposium	No*	No	Yes
Review Article	No	No	Yes
Other	No*	No	Yes
Research Notes	No*	No	Yes
Trade Journal	No	No	Yes
Germplasm Registration Article	No*	No	Yes
Book/Book Chapter	No*	No	Yes
Literature Review	No	No	Yes
Government Publication	No*	No	Yes
Monograph	No*	No	Yes
Experiment Station	No*	No	Yes
Popular Publication	No	No	Yes
Patent Application	No	No	Yes

**\* If the publication is a “First Formal Report other than Abstract”, select “Yes” and an Interpretive Summary is required.**

***Scientific Notation***

Scientific notation does not properly convert from word processing programs to ARIS. Therefore, scientific notations should not be used.

***Spell Check***

Spellcheck is not available in ARIS. However, the Technical Abstract and Interpretive Summary can be copied and pasted (**Ctrl C** and **Ctrl V**) from other software with spell check capability.

***115 Retention***

ARS-115s should be filed and kept for at least 3 years after the publication date. After that point, it is advisable to keep a reprint folder with the Log #s designated on the reprint for historical purposes and for ease in retrieval.

***References***

**P&P 152.1-ARS** (February 2016): Procedures for Publishing Manuscripts and Abstracts with Non-USDA Publishers (Outside Publishing).

<http://www.afm.ars.usda.gov/ppweb/PDF/152-1-ARS.pdf>

**P&P 152.2-ARS** (May 2011): Authorship of Research and Technical Reports and Publications

<http://www.afm.ars.usda.gov/ppweb/PDF/152-02ars.pdf>

## Appendix 1

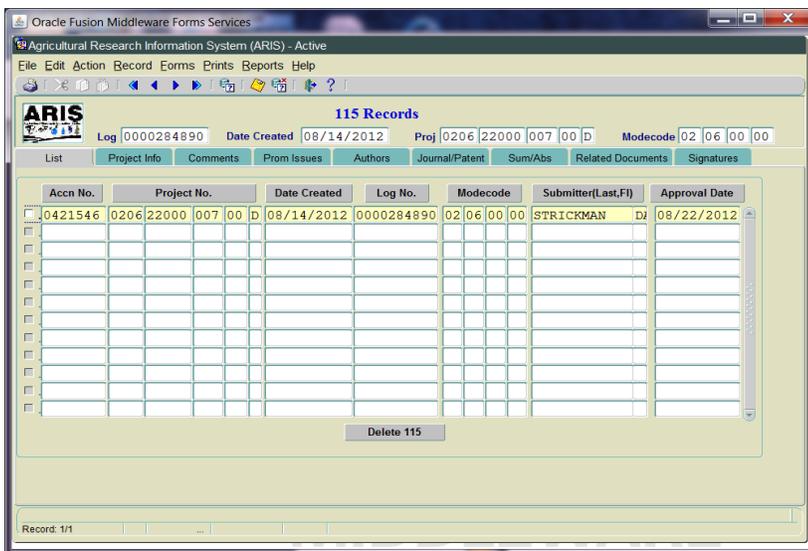
### Related Documentation – Upload Feature

The “Related Documents” feature in the ARS-115 section of ARIS/Research Documentation provides the capability to upload unofficial manuscripts and other related documentation directly in the system. This new feature eliminates the requirement of sending manuscripts as email attachments and allows these documents to be part of the permanent record.

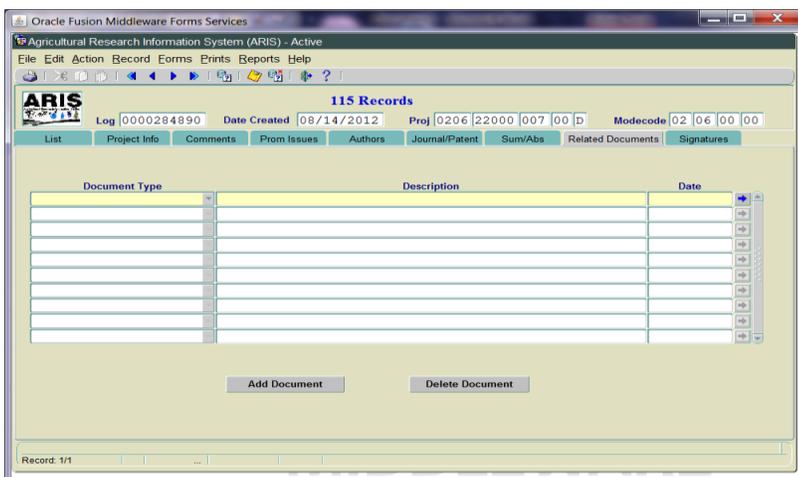
The capability to upload documents in the ARS-115 section is available in the Work or Active file. It is preferable to upload when other actions are taking place, but can be done directly in the Active file if necessary.

To upload documents, follow the steps below. The same steps apply whether in the Work or Active file.

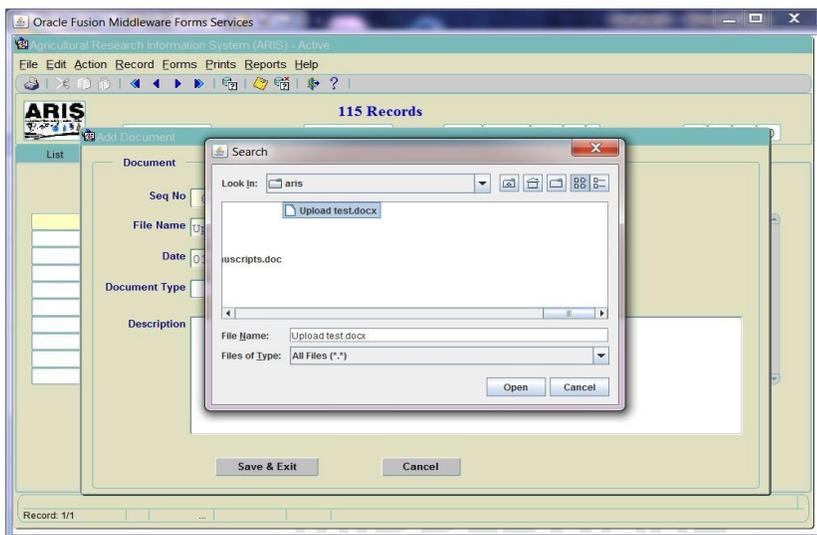
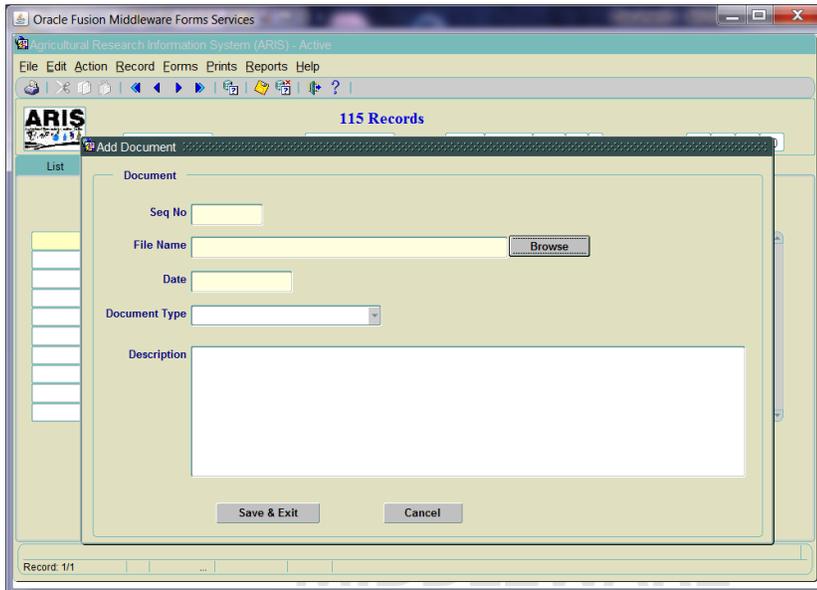
- From the ARS-115 List screen, select the ARS-115
- Select the Related Documents Tab



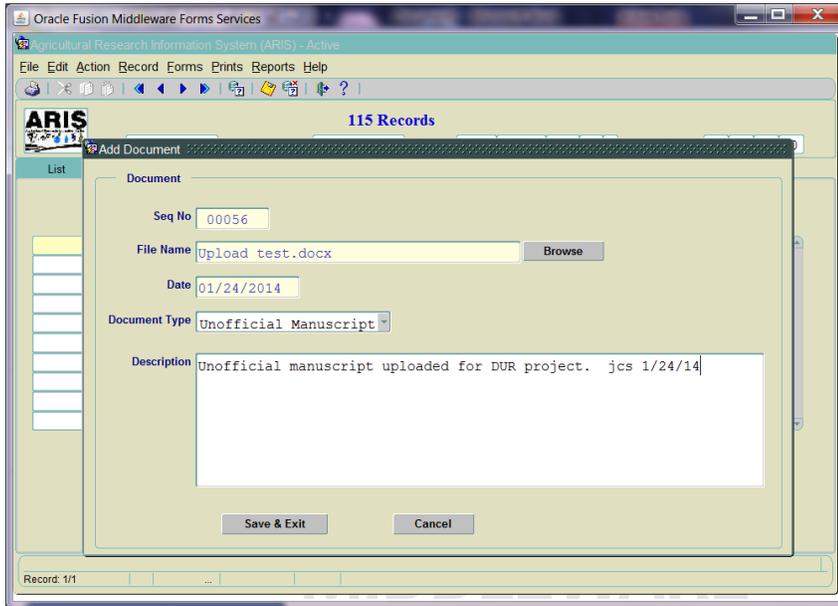
- Select Add Document



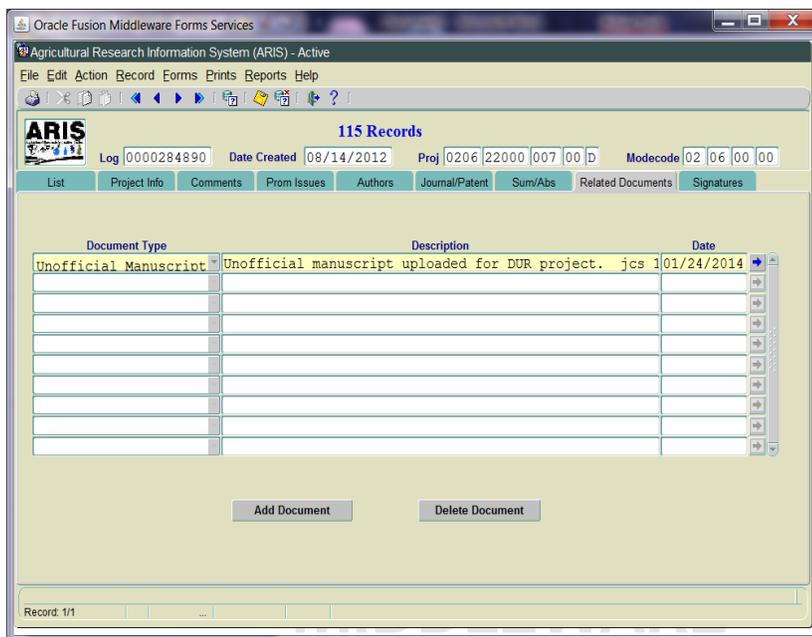
- Click the “browse” button to locate the file/document to be uploaded.
- Highlight the file and click the “open” button.



- The file name is inserted in the Add Document screen
- Select the Document Type (Unofficial Manuscript or Other) from the LOV
- Add a description of the document in the Description field
- Click “Save & Exit”



- The Document Type, Description and Date Uploaded are now displayed in the Related Documents Tab.



To Delete an uploaded document, highlight document name to be deleted, then click the “Delete” button.

To View a document, click the arrow to the right of the highlighted document, then click “View Document”

**Notes:**

- Only DUR ARS-115s are required to have the “unofficial” manuscript uploaded at the time of submission. All other documents are optional at this time.
- File names should have only 1 space in between any word(s).
- Files can be Word documents, PDFs, or Emails; however PDFs take up far less space and are preferable
- Management Unit level will only have access to view their own uploaded documents
- CD level will have access to view the uploaded documents for all units under the Center as well as upload and delete capabilities
- Area level will have access to view all uploaded documents for all units/locations within their Area as well as upload and delete capabilities

## Appendix 2

### Publication Citation Format and Examples

The citation information should be inclusive enough to allow the article to be found or requested through a library.

The citation is generated in proper format through the ARS-115 system by using the Generate Citation button. However, the citation should be reviewed and verified for accuracy of capitalization, punctuation, and any information that may need to be added.

**Author Names** - Author names are populated to the citation field by the authors listed in the Author field. Once in the citation, verify accuracy of capitalization, especially for names with double caps (e.g, McCoy) and for names with a suffix (e.g., III, Sr.).

**Spacing** – there should be only one space between elements in the citation.

**Capitalization** – the title is populated into the citation as typed in the Title field; however, verification is needed for accuracy of capitalization of proper names and author names.

**Abbreviations** – Abbreviations should not be used anywhere in the citation, unless the journal uses them in titles (e.g. the FASEB Journal).

**Pagination** – Use p. to indicate pages; use complete page numbers (e.g., 255-266, not 255-66).

**Abstract** – Insert the word “abstract” in brackets as the last word in the article title if the citation for an abstract only.

#### Journal Article with Standard Citation:

*Format:*

Author last name(s) and initial(s). Year of publication. Article title. Full journal title. Volume (issue):page numbers.

*Examples:*

Anderson, R.J. 2004. Maize responses to a severe isolate of maize chlorotic dwarf virus. Crop Science. 55(3):640-649.

Anderson, R.J., Thompson, J.L. 2004. Maize responses to a severe isolate of maize chlorotic dwarf virus. Crop Science. 55(3):640-649.

#### Journal Article with DOI in Citation (**note: “DOI” should be lowercase when used in a citation**):

*Format:*

Author last name(s) and initial(s). Year of publication. Article title. Full journal title. doi.

*Examples:*

Anderson, R.J. 2004. Maize responses to a severe isolate of maize chlorotic dwarf virus. Crop Science. doi: 10.2594/CS.2004-3597.

Anderson, R.J., Thompson, J.L. 2004. Maize responses to a severe isolate of maize chlorotic dwarf virus. Crop Science. 55(3):640-649. doi: 10.2594/CS.2004-3597.

#### Abstract:

*Format:*

Author last name(s) and initial(s). Year of publication. Title of abstract [abstract]. Full title of journal/proceedings. Volume(issue):page number(s).

*Examples:*

Steinheimer, T.R. 2004. Chemical fate of herbicides within a small agricultural watershed [abstract]. American Chemical Society. p. 102.

Hester, P.Y., Muir, W.M., Craig, J.V., Albright, J.L. 1995. Group selection for adaptation to multiple-hen cages: Response to social and heat stress [abstract]. Poultry Science. 74(1):102

*Example with Paper/Abstract No.:*

Paarlberg, K.R., Hanna, H.M, Erbach, D.C., Hartzler, R.G. 1995. Cultivator design for interrow weed control on no-till corn [abstract]. American Society for Agricultural Engineers. Paper No. 95-1331.

Steinheimer, T.R. 2004. Chemical fate of herbicides within a small agricultural watershed [abstract]. American Chemical Society. Paper No. 102.

**Proceedings:***Format:*

Author last name(s) and initial(s). Year of publication. Title of paper. Title of Proceedings. Volume:Page number(s).

*Examples:*

Kanwar, R.S., Colvin, T.S., Karlen, D.L. 1995. Tillage and crop rotation effects on drainage water quality. Proceedings of Clean Water-Clean Environment 21<sup>st</sup> Century. III:163-166.

Miller, J.G. Janyes, D.B., Moorman, T.B. 1995. Prediction of atrazine persistence in a central Iowa field. Proceedings of water Quality Modeling International Symposium. p. 109-118.

*Format for Proceedings w/Conference Information:*

Author last name(s) and initial(s). Year of publication. Title of paper. In: (editors, if any). Title of Proceedings. Title of Conference (if different from title of Proceedings), Date of Conference, Conference Location. Page number(s).

*Examples w/ Conference Information Included:*

Smith, J.L. 2004. Current issues in crop production. In: Proceedings of the Society of Plant Growers National Convention, February 5-7, 2004, Beltsville, Maryland. p. 23-24.

Smith, J.L. 2004. Current issues in crop production. In: Irvin, R.L., Smith, J.C., editors. Proceedings of the Society of Plant Growers National Convention, February 5-7, 2004, Beltsville, Maryland. p. 23-24.

*Example w/different conference title than proceedings:*

Smith, J.L. 2004. Current issues in crop production. In: Proceedings of the Society of Plant Growers. 4<sup>th</sup> International Conference of Plant Growers, February 5-7, 2004, Beltsville, Maryland. p. 23-24.

*Format for Proceedings only available on CD:*

Smith, J.L. 2004. Current issues in crop production. In: Proceedings of the Society of Plant Growers. 4<sup>th</sup> International Conference of Plant Growers, February 5-7, 2004, Beltsville, Maryland. 2004 CDROM.

**Dissertations/Thesis:***Format:*

Author last name and initials. Date of Degree. Title of Dissertation or thesis [Ph.D. Dissertation]. Place of Degree-Granting Institution: Degree-Granting Institution. Number of pages.

*Examples:*

Dorsey, J.D. 1995. Farming system effects on soil properties [Ph.D. Dissertation]. Columbus, OH: Ohio State University. 340 p.

Milach, S.C.K. 1995. Genetic characterization and molecular mapping of dwarfing genes in oat [Ph.D. Thesis]. Minneapolis, MN: University of Minnesota. 94 p.

**Patent:***Format:*

Author last name(s) and initial(s). Date of patent. Title of patent. Patent Number.

**Example:**

Eller, F.J., Bartelt, R.J. 1995. Compositions for the control of pepper weevils. U.S. Patent 5,393,522.

**Book Chapter:***Format:*

Author last name(s) and initial(s). Year of publication. Title of chapter or part. In: Last name and Initial(s) of Editor(s) of book. Title of book. Edition information (if any). Place of publication: Publisher. Inclusive page numbers.

*Example:*

Ogren, W.L. 1994. Energy utilization by photorespiration. In: Tolbert, N.E., Preiss, J., editors. Regulation of Atmospheric CO<sub>2</sub> and O<sub>2</sub> by Photosynthetic Carbon Metabolism. 3<sup>rd</sup> edition. New York, NY: University Press. p. 115-125.

**Book:***Format:*

Author last name(s) and initial(s). Year of publication. Title of Book. Place of Publication: Publisher. Number of pages.

*Example:*

Bates, B. 1999. Bargaining for Life: A social history of tuberculosis. Philadelphia: University of Pennsylvania Press. 435 p.

**Electronic Journal Articles:***Format:*

Author last name(s) and initial(s). Year of publication. Title of article. Full journal title [medium]. Volume(issue): page numbers [if available]. Availability information.

*Example:*

Loker, W.M. 1996. The crisis of modernization in Latin America. Journal of Political Ecology [serial online]. 3(1). Available: [http://www.library.arizona.edu/ej/jpe/volume\\_3/ascii-lokeriso.txt](http://www.library.arizona.edu/ej/jpe/volume_3/ascii-lokeriso.txt).

Yerk-Davis, G.L., Grant, D., McMullen, M.D., Cole, E.H., Houchins, K., Melia-Handcock, S. 1995. The UMC Maize RFLP Map Sequence. Plant Genome IV Abstracts. Available: <http://probe.nalusda.gov:8000/plant/index.html>.

Smith, J.C., Shafer, R.L. 2004. The effect of inoculation methods on bulb firmness. Electronic Journal of Biotechnology. 4(3). Available: <http://ejb.ucv.cl/content/vol3/issue3/full/4/index.html>.

Fredrickson, B.L. 2000. Cultivating positive emotions to optimize health and well-being. *Prevention & Treatment*, 3:Article 0001a. Available: <http://journals.apa.org/prevention/volume3/pre0030001a.html>

**Computer Programs/CD-ROM:**

*Format:*

Author last name(s) and initial(s). Year of publication. Name/Title of CD-ROM/Computer Program [medium].  
Version. Publication location: Publisher.

*Example:*

Gallo, A.E. 1996. The food marketing system in 1996 [CD-ROM]. Version 1.1. Washington, D.C.: U.S. Department of Agriculture, ERS.

Smith, J.C. 2004. PRO-CITE: Personal Bibliographic Software [computer program]. Version 1.4. Beltsville, MD: Scientific America.

*Appendix 3*

**ARS-115 Template**

**Related ARS Project (# or name):** \_\_\_\_\_ - \_\_\_\_\_ - \_\_\_\_\_ - \_\_\_\_\_

**Manuscript Title:** \_\_\_\_\_

**Manuscript Peer Reviewed:** Y N (If Yes: Please give the Unit ARIS user the ARS-533 Peer Review forms and a copy of the manuscript)

**1st Formal Report other than Abstract?** Y N (Select No if this is an Abstract entry)

**Does this manuscript report CRADA research?** Y N **Has the Cooperator Reviewed and Approved this Publication?** Y N

**If Yes, CRADA No.:** 58 - 3K95 - \_\_\_\_\_ - \_\_\_\_\_ (Example: 58-3K95-5-1234 or 58-3K95-5-6789M) *If marked Yes will go to OTT for review*

**Submitter:** \_\_\_\_\_  
 (Last name) (First name) (MI)

Phone: \_\_\_\_\_ Email: \_\_\_\_\_

**Contact:** \_\_\_\_\_  
 (Last name) (First name) (MI)

Phone: \_\_\_\_\_ Fax: \_\_\_\_\_

E-mail: \_\_\_\_\_

**Submitter:**

- Must be the RL or an Active Cat. 1, 4, 6 scientist
- Submitter does not need to be an author on the publication being entered.
- Submitter & Contact can be the same person (Unit choice).

**Contact:**

- Must be a Permanent Federal employee of the Unit.
- If a post doc is submitting the 115: Use the RL or a Cat. 1, 4, or 6 scientist as the Contact.
- Post docs can be listed as authors but not as the Submitter or Contact

**Comments/Additional Info:** **REQUIRED** (if being presented at a meeting) meeting name, location, dates; Non-ARS Author clearance issues; explain a rejection & resubmission, etc.

**Prominent Issues:**

- Potential to Attract Media Interest/Attention
- Represents a Significant Scientific Advancement
- Significantly Affect Existing or Future USDA Policy
- Potential Trade Implications
- Other (specify) \_\_\_\_\_


---

**Authors:** List all authors, authorship position, and their affiliation (ARS employee, University, Company or Organization, ARS-Retired/Collaborator, etc.) Only one senior author designation per manuscript; not required.

**Non-ARS Author Clearances:** Allows ARS to post the Non-ARS author's name/affiliation to ARS websites. It is **not** a request for approval/permission for ARS to publish.

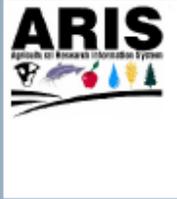
Name (Last, First, MI)	Employer/Affiliation	Clearance? (Y/N)	Senior Author (Y/N)
1			
2			
3			
4			
5			
6			

**Name of Meeting or Journal:****Include dates, location for a meeting/presentation:** *Example: Agronomy Meetings, San Diego, CA. Nov. 1-5, 2011*

<b>Publication Type:</b>	<input type="checkbox"/> E = Experiment Station	<input type="checkbox"/> R = Review Article	<input type="checkbox"/> C = Pct (Patent Cooperation Treaty) (Check with TTC or Patent Advisor before entering)
<input type="checkbox"/> A = Abstract	<input type="checkbox"/> L = Literature Review	<input type="checkbox"/> T = Trade Journal	<input type="checkbox"/> Z = Patent Application (Serial #: _____) (Check with TTC or Patent Advisor for assistance)
<input type="checkbox"/> B = Book/Chapter	<input type="checkbox"/> M = Monograph	<input type="checkbox"/> X = Other	<input type="checkbox"/> H = Germplasm Registration Article Plant Material Docket Number: _____ <i>Note:</i> Plant Material Docket (PMD) entry must be entered first and approved/coded as Active in ARIS; must select the PMD # to enter 115 Germplasm Registration Article
<input type="checkbox"/> J = Peer Rev. Journal	<input type="checkbox"/> N = Research Notes	<input type="checkbox"/> V = Government Publication	
<input type="checkbox"/> P = Proceedings/ Symposium	<input type="checkbox"/> O = Popular Publication	<input type="checkbox"/> U = Research Technical Update (Use for Natural Resources Res. Update Only)	

**Previously Submitted (applies to resubmission):**  Y  N (*Select Yes if it was submitted to another journal/equivalent earlier*).**NOTE:** ARIS User: the original 115 entry should be revised/updated if this is a resubmission due to rejection or other issues.**\* Use the Remarks and state which journal it was originally submitted to, the date, reason for resubmission (i.e., rejected, inappropriate journal, etc.)****Hold from Tektran until:**  Published \_\_\_\_\_  Permanently \_\_\_\_\_**Due to patent potential, is retention of intellectual property rights desired?**  Y  N (Contact Tech. Transfer Coordinator for help/info)**Patent Information:** If Yes, please submit a Patent/Invention Disclosure form through the ARIS Licenses/Invention system.; If Yes, will go to OTT for review.**Technical Abstract and Interpretive Summary:** Provide electronically in Word.**Provide the dates shown below as soon as they become available.** The dates are required entries in order to allow the 115 to migrate to Tektran and the ARS website. The 115 cannot be used in the Annual/Final ARS-421 Progress Report unless Dates are entered & the 115 Citation is complete.**REQUIRED Date Submitted to Journal:** \_\_\_\_\_ (Date the manuscript or abstract is sent to the journal or other outlet).**REQUIRED Acceptance Date:** \_\_\_\_\_ (Date journal/other outlet accepts it for publication or the committee accepts it for a meeting, etc.) (Required to be listed on the web).**REQUIRED Publication Date:** \_\_\_\_\_ **REQUIRED Volume, Page numbers, etc.:** \_\_\_\_\_**Both publication date and volume/page number required to generate citation****Repository URL Field:** \_\_\_\_\_ (Do not enter the http:// in front, it defaults in). (To be used for the URL for Reprints to be held in the NAL Digital Repository only; No other URLs should be entered here).

## Appendix 4

115 Code Request Form  
(also see Chapter 16B (5))

## CODE REQUEST FORM

(revised 8/7/2015)

Please complete this form to request a journal code or an employer code. All fields, respective to the code that you are requesting, **MUST BE COMPLETED** in order for your request to be processed as it helps to correctly identify and/or distinguish entities with the same or similar names.

Code being requested

Please complete the fields below if requesting a journal code.

Name of publication

Type of publication

Name of publishing company

URL of journal or publisher

Does the publication have a confidentiality clause?

\* The confidentiality clause status (Yes or No) is specific to each journal. This clause states that the publication must be kept confidential until the journal has been published. To determine if a journal has a confidentiality clause, call the journal directly, search the journal's website, and/or ask the scientist to obtain this information. (ARIS manual, Chapter 5, page 27)\*

Please complete the fields below if requesting an employer code.

Name of organization

English translation of organization's name, if foreign.

\*Please provide the english translation (if available). If the information is not available please type N/A in the field\*

Organization's website

Organization's address

City

State

Zip Code

Country

## Appendix 5

### Instructions for Turning off Autoformatting

To turn off the AutoFormat feature in Word, click the **Office Button -> Word Options -> Proofing**. This will display the AutoCorrect options Dialogue box (fig. 1). Select the “**AutoCorrect Options**” label in the AutoCorrect Dialogue box (fig. 2).

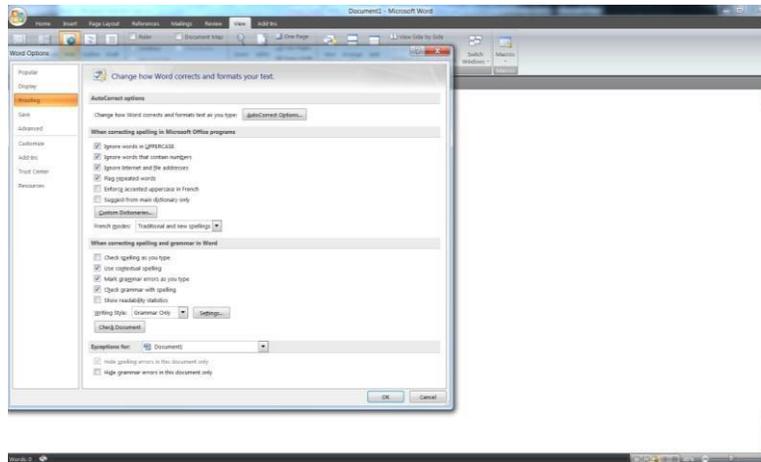


Figure 1 – Word Options-Proofing

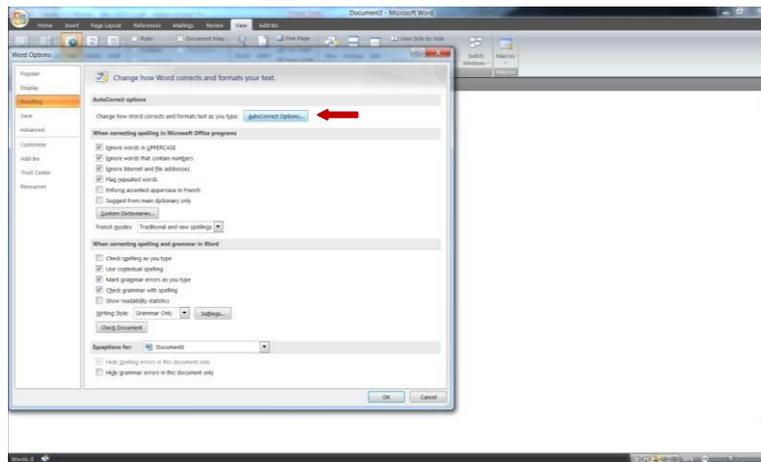


Figure 2 – AutoCorrect Options

Select the AutoFormat tab and clear the checks in “**List styles**”, “**Automatic bulleted lists**”, and “**Straight quotes**” with “**smart quotes**” by clicking each box (fig. 3 & 4).

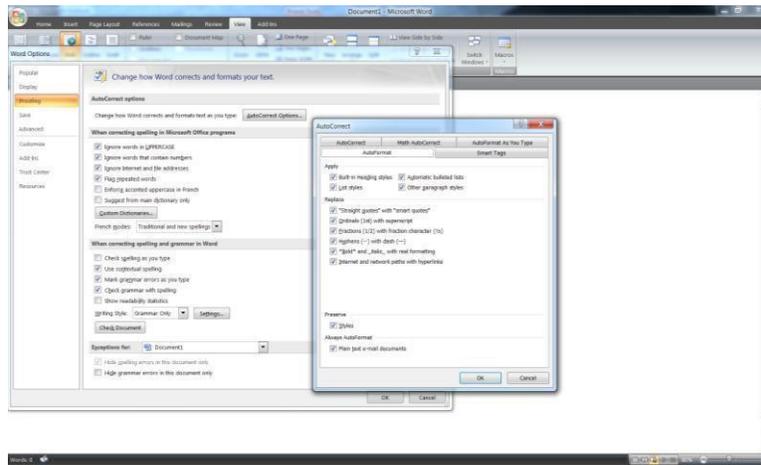


Figure 3 – AutoFormat

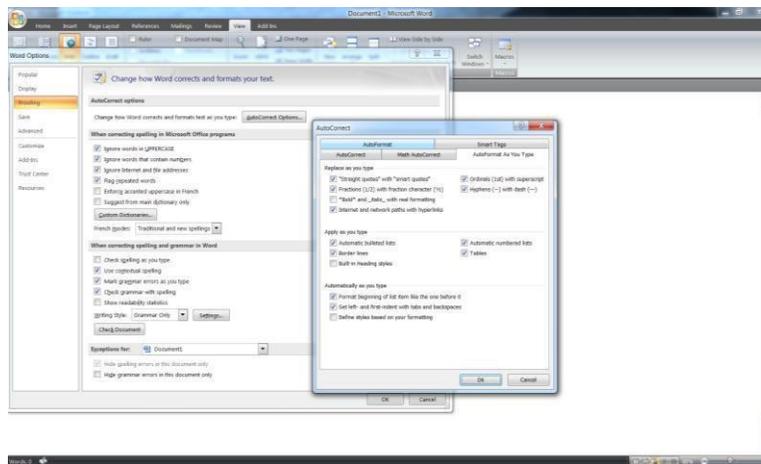


Figure 4 – AutoFormat As You Type