

Standard Operating Procedures (SOP)

Mid South Area Council for Office Professionals

ARS-115

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 specific 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.** {Chapter 5 of the ARS -115 ARIS Manual} (See also P&P 152.1)

References:

- [P&P 150.1](#) – ARS – Dissemination of Public Information by ARS
- [P&P 152.1](#) – ARS – Procedures for Publishing Manuscripts and Abstracts with Non-USDA Publishers (Outside Publishing) Dated April 22, 2013
- [P&P 152.2](#) – ARS – Authorship of Research and Technical Reports and Publications

Websites:

- [ARIS Online Manual](#) –Chapter 5
- [AFM Policies & Procedures and Manuals](#)
- [NALDC Submission Guidelines](http://digitop.nal.usda.gov/) – <http://digitop.nal.usda.gov/>

Quick Links:

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Frequently Asked Questions:

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Forms:

- [Journal Code Request Form](#)
- [Non-ARS Employer Code Request Form](#)
- [ARS-533 Manuscript Peer Review Form](#)

Templates:

- A
- B
- C

Point of Contact:

MSA 115 Help:
Robin W. Jordan, Program Assistant
141 Experiment Station Road
Stoneville, MS 38776
(662) 686-3055

Publication Review/Approval Process (See Flow Chart)

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PRIOR to Presentation or Submission to Journal/Publisher

1. AUTHOR

- Reviews P&P 152.1 – Procedures for Publishing in Non-USDA Media and P&P 152.2 – Authorship of Research and Technical Reports and Publications
- Reviews all types of publications for technical accuracy, quality, format, and style.
- Ensures that all publications going outside of USDA carry the [EEO/Non-Discrimination Statement](#).

2. AUTHOR

- Discusses publication with the Research Leader (RL).
- Discusses [Prominent Issues](#) (if applicable) related to the publication with the RL.
- Discusses peer review requirements of the unit with the RL.

3. AUTHOR

- Clears first draft with RL/co-authors and cooperating institutions.
- Ensures that the ARS-115 properly identifies manuscripts reporting research results from a CRADA.
- Ensures author's affiliation with ARS appears on the publication in the following recommended format:
USDA, Agricultural Research Service, research facility, sub-unit (if applicable), street address, city, state, zip code, USA

4. RESEARCH LEADER

- Determines the level of review required and approves of the content and quality of publication prior to it being sent to reviewers.
- Determines if manuscript content should be reviewed by the Patent Advisor (PA) in OTT for protection of IP.

5. AUTHOR

Sends draft to peer reviewers/co-author(s), which includes the following:

- ARS-533 – Manuscript Peer Review Form
- Draft of publication

6. AUTHOR

Revises publication according to reviewers' comments and sends electronic copy of the following to RL and OA/PSA:

- ARS-115 Template
- Revised manuscript
- Technical abstract
- Interpretive summary (if necessary)
- Reviewers' comments (ARS-533's)

7. RESEARCH LEADER

- Resolves problems with author on abstract of manuscript and/or interpretive summary, if necessary.
- Notifies OAA/PSA to enter ARS-115 in ARIS and authorizes signature approval on the ARS-115.

8. OAA/PSA

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- Enters ARS-115 into ARIS.
- Prints form for RL signature and releases ARS-115 in ARIS.
- Provides ARS author with signed copy of ARS-115.

9. AUTHOR

- Submits manuscript to proposed publisher within 30 days **after** ARIS approval – **NOT BEFORE.**

AFTER submission for Publication:

10. AUTHOR

- Notifies OA/PSA of the following dates: Submitted, Accepted, and Published.
- Notifies OA/PSA if manuscript is returned from publisher and not to be resubmitted for publication. (See P&P 152.1)
- Notifies OA/PSA if a publisher rejects publication. (See P&P 152.1)
- Provides OA/PSA with electronic copy of the final published manuscript.
- Provides OA/PSA with Citation information (e.g. issue, volume, page number(s), etc.).

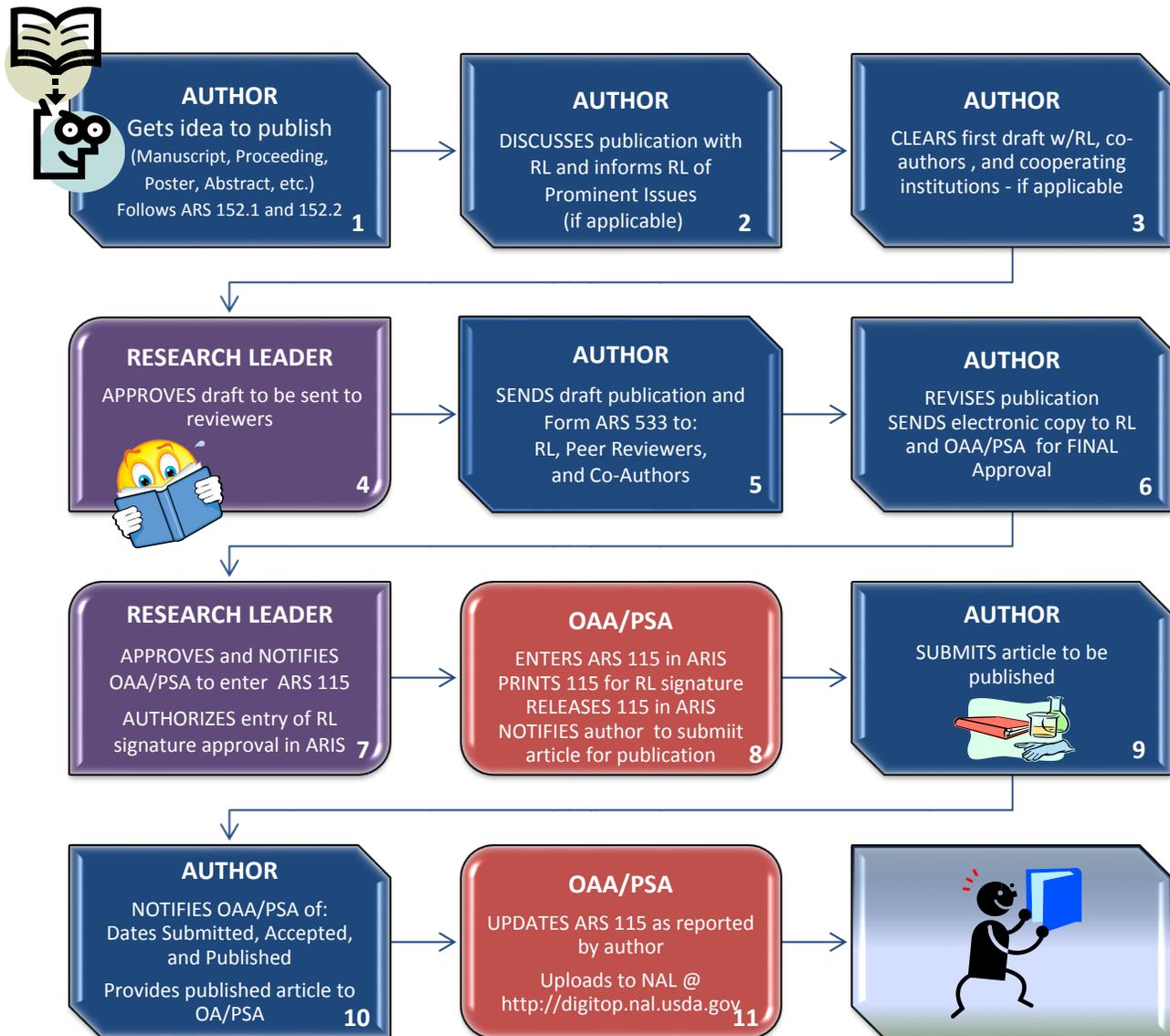
11. OA/PSA

- Updates ARS-115 as reported by Author.
- Submits PDF of publication to National Agricultural Library (NAL).

Publication Review/Approval Process – Flow Chart

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RL determines the level of review before submission of manuscript to a refereed journal or other publisher.



(NOTE: Order of items may vary depending upon Unit)

Records Retention

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- ❖ **Official ARS-115 files should contain the following:**
 - ☑ The ARS-115 printout, with all applicable approval signatures (print a new/Official ARIS document after entering the publication date and citation information or any time a revision/modification is made to the 115).
 - ☑ Non-ARS author clearances and/or CRADA Cooperator clearances.
 - ☑ ARS-533 Manuscript Peer Review forms.
 - ☑ Copy of the manuscript (until the publication reprints are received).
 - ☑ Copy of the final publication for the Journal or Equivalent.

- ❖ Maintain official records at the Unit Level for current plus three years for a total of four years.

COMMENTS Tab of ARS-115

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- ❖ Always add a detailed description of action taken so that all reviewers have a clear understanding of the requested action. Include your INITIALS at the end of comment.

Example 1: *Adding the publication date and citation information. INITIALS*

Example 2: *Revising the author list. INITIALS*

- ❖ Meeting abstracts and proceedings: Enter the meeting name, location, and dates of meeting – especially when using a Generic Meeting Abstract code.

Example: *To be presented at the USDA, ARS Workshop, July 1 – 4, 2014, Anywhere, USA. INITIALS*

- ❖ Pass thru projects: State the following with your project's information:

Example – *Establishing a 115 submitted to journal name. Cooperator name publication via a congressionally mandated SCA entitled "Title" (Project Number: 64XX-XXXXX-XXX-XXS, 58-64XX-X-XXX). INITIALS*

- ❖ Rejection of publication: In the event a publication was rejected by journal, an entry should be made in the comments section to explain. For more details, see [Rejection of a Publication](#).

Examples of information to include in the Comments:

(A) *Publication was rejected by "name of journal" on "date." State reason for rejection. INITIALS*

If it is to be resubmitted include (A) from above plus:

Publication resubmitted to "name of journal" on "date."

If is NOT to be resubmitted include (A) from above plus:

Never to be published.

- ❖ **Non-ARS Author:** If a Non-ARS author refuses or declines to provide a written clearance, the primary/lead ARS author can enter the ARS-115 with the following remarks in the Comments field:

Non-ARS author Dr. John Doe has declined to provide a Non-ARS author clearance. Clearance box has been marked "Yes" in order to release the record for line management review and approval. INITIALS

Citation Format and Examples

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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.

Journal Article with DOI in 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.

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 21st Century*. III:163-166.

Miller, J.G. Janis, 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. 4th 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. 4th 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 CO₂ and O₂ by Photosynthetic Carbon Metabolism. 3rd 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.

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.

MATRIX for Data Entry Determination

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How to answer the “First Formal Report other than Abstract” question?

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.

Publication Type	First Formal Report*	Interpretive Summary	Technical Abstract
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 Release	Yes	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.

****Germplasm Releases** are considered “**First Formal Report**”; however, an **Interpretive Summary** is not required.

Interpretive Summary

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1. An Interpretive Summary (IS) is required for manuscripts that are the first formal report (other than an abstract) of original scientific research and it will be included in the ARS-115 in ARIS along with the technical abstract. See the [Matrix for Data Entry Determination](#) to determine if and when one is required. A well-written IS should be short and simple.
2. Interpretive Summaries are used to tell a wide audience about ARS research and should be written in terms understandable to the general public. In addition, the Agency uses them for decision making about resource allocations, budget development, program planning, technology transfer, and communication with Congressional and Executive Branch policymakers. Therefore, the IS should not

simply repeat or paraphrase the technical abstract, but it should be written in layman's terms to relate the meaning or value of the research in terms understandable to the general public. An IS should contain the following:

- a) **Problem Statement** - A background statement, in one to three sentences, explaining the problem that was addressed or the rationale for the research. The problem should be expressed in the simplest terms. Scientific terminology can be cited in the technical abstract. This can be related to a strategic plan problem but should not be an exact restatement of it. The problem statement should tell what agricultural problem is being solved and why it is a problem.
- b) **Accomplishment** - In terms that a lay person can understand, state what was accomplished, not necessarily what was done. Omit detailed results - instead highlight the major findings. Write this as if you were sending it directly to your Congressman who is concerned about how you are spending taxpayers' money to solve problems. Avoid technical jargon.
- c) **Contribution** - Include an impact statement describing the significance of the accomplishment; why the results are important to the producer, consumer, industry, society, or science. Tell the reader how society will be better because of the accomplishment. Be as specific as possible in terms of the magnitude of the benefits. Use rough estimates of numbers of dollars, acres, or people to the extent possible. Because some of the accomplishments have direct benefit to scientists and not to the farmer or consumer, identify the impact on science (what scientists or area of science will use the results and how will science be moved forward as a result of the accomplishment).

Remember: Explain in terms that will not require a dictionary for others to understand. Do not use Latin names, jargon, or scientific terms. Summarize the results in words, not data. For an example of an acceptable IS, see [P&P 152.1-ARS](#), Procedures for Publishing in Non-USDA Media (Outside Publishing). In addition, Interpretative Summaries may be viewed at the TEKTRAN website: <http://www.ars.usda.gov/services/TekTran.htm>

The article below was written by Dr. Phyllis Johnson, Retired Director of the Beltsville Area. It has some excellent pointers on writing Interpretive Summaries.

Can Anybody Interpret Your Interpretive Summaries?

By: Dr. Phyllis Johnson (Retired)

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Interpretive Summaries are meant to be a means of explaining technical work to the lay public. Once Interpretive Summaries and Technical Abstracts are in the Agricultural Research Information System (ARIS), they are available for on-line searching by the public. Congress can also use the system to find out what we've done. Thus, it's important that authors and RLS make sure that they are well written.

Writing in lay language isn't always easy. Each Interpretive Summary should contain a background statement explaining the problem, a description of what was found (not just what was done), and a statement that explains why the result is important to the farmer, producer, industry, or other user.

If you're not sure what "lay language" is, pretend you're writing for the *Reader's Digest*. Stay away from Latin names for organisms and from jargon. Don't give data--summarize the results in words. If you show the Interpretive Summary to a lay person and that person needs a dictionary to understand it, try again. Explain your work the way you would speak to a neighbor who works in a bank and hasn't taken science since high school. This is something every scientist needs to be able to do. Taxpayers are both our customers and our bosses--they need to know why our work is important.

Technical Abstract

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The American Society of Agronomy uses the following example of a well-written abstract:

Dryland Grain Sorghum Water Use, Light Interception, and Growth Responses to Planting Geometry	
J.L. Steiner*	
ABSTRACT	
<i>Rationale</i>	Crop yields are primarily water-limited under dryland production systems in semiarid regions.
<i>Objectives or hypothesis</i>	This study was conducted to determine whether the growing-season water balance could be manipulated through planting geometry.
<i>Methods</i>	The effects of row spacing, row direction, and plant population on the water use, light interception, and growth of grain sorghum [<i>Sorghum bicolor</i> (L.) Moench] were investigated at Bushland, TX, on a Pullman clay loam (fine, mixed, superactive thermic Torrertic Paleustoll).
<i>Results</i>	In 1983, which had a dry growing season, narrow-row spacing and higher population increased seasonal evapotranspiration (ET) by 7 and 9%, respectively, and shifted the partitioning of ET to the vegetative period. Medium population crops yielded 6.2 and 2.3 Mg ha ⁻¹ of dry matter and grain, respectively. High population resulted in high dry matter (6.1 Mg ha ⁻¹) and low grain yield (1.6 Mg ha ⁻¹), whereas low population resulted in low dry matter (5.4 Mg ha ⁻¹) and high grain yield (2.3 Mg ha ⁻¹). Row direction did not affect water use or yield. In 1984, dry matter production for a given amount of ET and light interception was higher in the narrow-row crops. Evapotranspiration was less for a given amount of light interception in the narrow-row crops and in the north-south row crops.
<i>Conclusions</i>	Narrow-row planting geometry appears to increase the partitioning of ET to the transpiration component and may improve the efficiency of dryland cropping systems.

This example shows both the overall construction of the abstract and the contents of its parts. (From Agron. J. 78:720-726 [1986], updated to conform to new ASA style guidelines.)

Write the abstract as a single paragraph, with a limit of 250 words (1250 characters) for full-length papers and 150 words (750 characters) for notes. Some abstracting services truncate text beyond a certain length; what is lost is most likely the conclusions.

Patentable Information

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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

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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

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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 (highest authorship) listed and will be associated with the in-house project and Mode Code for that SY. Each ARS author listed **SHOULD NOT** enter a separate ARS-115.

Co-author’s of publications prepared by someone **outside of ARS** should submit a copy of the publication to RL for review and approval as soon as possible.

- a) Remember, the first ARS author listed in a group of authors is responsible for getting approval and entry into ARIS.
- b) Make sure that the EEO/Non-Discrimination statement is included in the publication.

This statement is to be included in all publications going to an audience outside USDA. It must read as follows:

The U.S. Department of Agriculture (USDA) prohibits discrimination in all its programs and activities on the basis of race, color, national origin, age, disability, and where applicable, sex, marital status, familial status, parental status, religion, sexual orientation, genetic information, political beliefs, reprisal, or because all or part of an individual's income is derived from any public assistance program. (Not all prohibited bases apply to all programs.) Persons with disabilities who require alternative means for communication of program information (Braille, large print, audiotape, etc.) should contact USDA's TARGET Center at (202) 720-2600 (voice and TDD). To file a complaint of discrimination, write to USDA, Director, Office of Civil Rights, 1400 Independence Avenue, S.W., Washington, D.C. 20250-9410, or call (800) 795-3272 (voice) or (202) 720-6382 (TDD). USDA is an equal opportunity provider and employer.

- c) If the publication/product is small and cannot accommodate the full version, this short version of the EEO/Non-discrimination statement is acceptable:
USDA is an equal opportunity provider and employer.

Remember: If the outsider sent the document to be published before it is approved, notify RL and PSA and follow guidelines to get internal approval and entry of the publication into ARIS.

Prominent Issues Guidance

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1. P&P 152-1, ARS Procedures for Publishing in Non-USDA Media (Outside Publishing), includes a major change, which involves how to keep the Office of National Programs (ONP) and ARS Administrators aware of sensitive, high profile topics that are being made public through publications and presentations.
2. The new approach outlined in the P&P requires the Research Leader and the Lab Director to review the manuscript considering five designated Prominent Issues:
 - 1) Potential to attract media attention
 - 2) Represents a significant scientific advancement
 - 3) Significantly affects existing or future USDA policy
 - 4) Potential trade implications
 - 5) Other (description required)
3. These categories were developed to allow ONP to alert appropriate officials within other USDA agencies (particularly our regulatory agencies), other governmental offices, and national and international cooperators before such information is made public. It also serves as a topic base for the ARS Information Staff for articles and news releases.
4. In order for this process to be effective, it is imperative that 115 records be entered and approved prior to release of the information, and that 115 approving officials conscientiously review the material against these criteria.
5. ARS-115 records that are marked as a Prominent Issue will NOT be substantially delayed in the approval process. The records will route to Area Office for review, and upon Area approval an informational copy will be routed to ONP and other ARS offices depending on the category marked. Area approval indicates permission for the author to submit the material to the publication media.

Manuscript Peer Reviews

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The RL determines the need for peer reviews, instructs the author accordingly, and verifies that peer reviews are made. Here are a few guidelines to follow:

- At least two peer reviews (with original signature) on Form ARS-533 Manuscript Peer Review Form are required.
- At least one peer review must be from outside the author(s) research unit (can be at same location but in a different unit).
- Authors are strongly encouraged to obtain a review from a scientist who is not employed by ARS.
- Responses to peer review comments must be addressed by the ARS scientist, either on the ARS-533 form or in a separate memo.
- ARS-533 forms, and a copy of the manuscript, should be retained until it is published.

Waving a Peer Review – Waivers of a peer review requires approval by the RL via memo.

Confidentiality Clause

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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. Please make sure the scientist understands that by selecting confidentiality yes, any 115 under this journal does not get published to the ARS website until a published, not acceptance, date is added.

The following is an example of a statement from an ARS scientist in the field indicating confidentiality yes, which was entered in ARIS.

“Journal requires that an author not submit the same or similar articles to any other journal while this paper is under consideration for publication by this journal.”

Rejection of a Publication

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When a publication is rejected by a journal, the ARS-115 **will remain** in the Active File and **is not** deleted from ARIS.

The SY should let the PSA know if the same manuscript is submitted to another journal so that the following modifications can be made to the ARS-115:

- a) Modify Journal Code and Journal Name.
- b) Change “**Previously Submitted**” to “**Yes**” and any other appropriate information.
- c) Enter a note in the **Comments** field stating that the manuscript was previously submitted to another journal. Provide the name of the original journal, name of the new journal, the new submission date, and the reason for resubmission.
- d) If the publication is not going to be resubmitted, mark the box “**never to be published**” and no other action will be necessary.

NOTE: The “**Date submitted to journal**” field cannot be modified from the original submission date.

Currently Available Generic Journal Codes

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Journal Name	Journal Code
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

FAQ's:

1. How are 115s linked to Annual Reports (AD-421)?

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The citation information from the ARS-115 propagates into the AD-421 when the log number is referenced on the 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.

Remember: Publications can only be listed in one CRIS Annual Report within a management unit. However, another outside management unit can use the same publication.

2. Who can or should be listed as an author on a publication?

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The authority to approve authorship resides with the Research Leader.

Category 3 Support Scientists

- a) Category 3 support scientists can be a co-author without any prior approval. Typically, Cat 3 support scientist are not a senior author unless involved in the research process (planning, conducting, and writing)
- b) For a Cat 3 support scientist to be a senior author, prior approval must be obtained from RL.
- c) This approval should be sought as soon as the need becomes evident, but prior to the production of the first draft of the manuscript and typically during the research planning period.

Post Docs/Research Associates

- a) A Post Doc/Research Associate CANNOT be listed as the Contact Scientist on the ARS-115 in ARIS.
- b) The Contact Scientist in ARIS must be a permanent ARS person who can speak about the research (usually the senior ARS author).
- c) For publications where the senior ARS author is a Post Doc/Research Associate, the Contact Scientist listed must be the Author's supervisor.
- d) The name and email address of the Post Doc will be noted in the Comments section of the ARS-115.

Technicians

- a) The revised ARS P&P 152.2-ARS, states that any person who, in the judgment of the RL, **meets the guidelines** for authorship, and who wishes to be listed as an author, cannot ethically be denied authorship.
- b) When a situation occurs where a technician wishes to be listed as an author, **prior approval** must be obtained from RL at the outset of the research project, but no later than after the work is completed and before the writing has begun. In exceptional circumstances, a technician may be approved via the above procedure as a senior author (e.g. when publishing research from a M.S. Thesis). A memo requesting approval is required.
- c) NOTE: If a technician assisted with the research paper but his/her work does not justify authorship, their contribution may be acknowledged after first obtaining their permission. It is a good idea to give credit where credit is due.

3. If an ARS Author is offered compensation for writing an article, should he/she accept it?

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No. Articles and other publications prepared as official duties of an employee are the property of the U.S. Government. ARS Authors cannot accept payment for official

articles published in non-Government publications, whether it is royalty income or other forms of compensation.

4. When is an Interpretive Summary needed?

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- A Technical Abstract is always required for entry of a publication into ARIS, but sometimes an Interpretive Summary is also required.
- If a manuscript is the “first formal report” of scientific research (other than an abstract), you need an Interpretive Summary along with the Technical Abstract.
- Go to the [Matrix](#) to determine whether an abstract and/or interpretive summary for ARS-115 is needed.

5. Is special approval required for writing a book, book chapter, or electronic publication?

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Yes. You must first get approval from your RL, the LD (if applicable), and the Area Director if authors plan to prepare a book/chapter, monograph, or electronic publication that is related to their official work or to an ongoing or announced policy, program, or USDA operation (regardless of whether the work is conducted on official or personal time).

How? Submit a memo through RL (and LD if applicable) to the AD for permission to write a book/book chapter, monograph, electronic publication, or any publication (as noted in P&P 152.1) that is related to your official work.

6. Does the SY need to go through the approval process and have a 115 entered in ARIS for a power point presentation or a talk to a local club/organization?

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Yes. Anything and everything that presents ARS research outside of ARS should be documented in ARIS. This includes posters displayed at field days and slide presentations.

Why? To document transfer of information to audiences and to ensure that it will appear on the annual “Detail by Author” report.

7. What ARIS paperwork is needed if the SY is just making a presentation?

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Poster only (to include field day posters) or a poster with accompanying abstract - ARS-115 template, an abstract summarizing what the poster publicizes, and an 8 ½ x 11 print of the poster. On the 115 template, make note of who reviewed the poster.

Slide presentation - ARS-115 template and an abstract summarizing the presentation.

8. What if the article will never be published?

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Prepare the ARS-115 and check the appropriate box – “**Never to be published**”. This allows the record to be added to the database without the publication dates and no citation information will be expected.

9. What should be done if the non-ARS author sends the document to the publisher prior to ARIS approval?

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It should be brought to the attention of the RL and entered in ARIS as soon as it is discovered. Peer reviews will not be needed, but the SY should get internal approval to enter the publication in ARIS with a note in the Comments section explaining what happened.

10. What guidelines should SYs follow in order to get credit for publications in time for performance evaluations?

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In order for publication to be listed on the Detail by Author report that is used for annual performance appraisals, it must be submitted to the journal before **September 30**, and the submission date must be entered in ARIS no later than the final day of the rating period (**September 30**).

Journal Code Request Form

Please complete **1-5** on this form to request a journal code. **All information must be received before a code can be generated.** If you are requesting more than two (2) journal codes a separate form should be completed. Email this form to Robin Jordan.

1st Request

1. Name of the Publication (e.g., name of the journal, book, trade journal):
2. Type of Publication (e.g., peer-reviewed journal, trade journal, proceedings):
3. Publisher (if known):
4. URL of the journal or publisher (if known):
5. **Does the journal have a Confidentiality clause:** YES NO

****Note:** 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)**

2nd Request

1. Name of the Publication (e.g., name of the journal, book, trade journal):
2. Type of Publication (e.g., peer-reviewed journal, trade journal, proceedings):
3. Publisher (if known):
4. URL of the journal or publisher (if known):
5. **Does the journal have a Confidentiality clause:** YES NO

****Note:** 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)**

Non ARS Employer Code Request Form

Please complete this form to request Non-ARS Employer Codes and email to Robin Jordan. **All information must be received before a code can be generated.** If you are requesting more than two (2) codes a separate form must be completed.

1st Request

6. Name of the Institution:

7. English Translation of Institution (if foreign):

****Please provide English translation (when available) as it helps correctly identify and/or distinguish entities. If the information is not available please type N/A in the field****

8. Address:

City: State: Zip Code: Country:

9. Website :

****Please provide a website (when available) as it helps correctly identify and/or distinguish entities with the same or similar names. If the information is not available please type N/A in the field ****

2nd Request

1. Name of the Institution:

2. English Translation of Institution (if foreign):

****Please provide English translation (when available) as it helps correctly identify and/or distinguish entities. If the information is not available please type N/A in the field****

3. Address:

City: State: Zip Code: Country:

4. Website :

****Please provide a website (when available) as it helps correctly identify and/or distinguish entities with the same or similar names. If the information is not available please type N/A in the field ****

ARS-533 Manuscript Peer Review Form

MANUSCRIPT PEER REVIEW

The reviewer acknowledges that the contents of this manuscript are confidential until publication.		
MANUSCRIPT TITLE		
AUTHOR(S)		
REVIEWER'S NAME	FOR PRESENTATION AT	
TITLE	PROPOSED PUBLISHER / JOURNAL	
LOCATION		
SIGNATURE	DATE	PUBLICATION RECOMMENDATION <input type="checkbox"/> Acceptable as is <input type="checkbox"/> Acceptable with Revision <input type="checkbox"/> Unacceptable
<p><i>COMMENTS (Attach additional sheets as needed.)</i> Reviewers should evaluate on the following criteria regarding technical content and clarity:</p> <ul style="list-style-type: none">• Were proper methods used?• Were results of study objectively and correctly analyzed and interpreted?• Do data justify the conclusions?• Is rewriting needed? <p>Authors must respond to specific comments on technical content and quality, by notation in the margin of this form or by attachment of a written response.</p>		