

NORTHERN PLAINS AREA Policy Memorandum

DATE:	October 12, 2007
SUBJECT:	ARS-115 and Posting Copies of Approved Manuscripts/Publications to Websites
NUMBER:	PM-08-001
EFFECTIVE DATE:	October 12, 2007 (Supersedes PM-06-001, issued July 1, 2006)

1. Purpose

An ARS-115 *"Request to Submit Manuscript for Publication"* is required whenever an ARS employee wishes to publish any kind of publication. In addition, it is also required whenever an employee is to present a paper, talk, poster, etc., at any scientific meeting, specifically in which a publication such as an abstract and/or proceedings/symposiums are to be published. Publications include CDROMs, video streaming, pod casts, PowerPoint postings of presentations on scientific society websites, and official journal/publication web sites.

2. Delegation of Authority

- Refer to the following Policies & Procedures (P&Ps): 152.1 *Procedures for Publishing Manuscripts and Abstracts with Non-USDA Publishers (Outside Publishing)* and 152.2 *Authorship of Research and Technical Reports and Publications*. P&Ps are located at <http://www.afm.ars.usda.gov/ppweb/pplist.htm>
- Exception:** ARS-115s submitted under "Dual Use Research" (DUR) and/or "High Profile Topic" will continue to be automatically forwarded for Area Director and NPS approval.

3. Accountability and Non-ARS author clearances

- Refer to the following P&Ps for Accountability and Non-ARS author clearances: 150.1 *Dissemination of Public Information by ARS*; 151.1 *Publishing (Print and Electronic)*; 152.1 *Procedures for Publishing Manuscripts and Abstracts with Non-USDA Publishers (Outside Publishing)*; and the 115 Responsibility memo dated May 12, 2003. (Exhibit 1).
- Non-ARS Author clearances indicates approval of the Interpretive Summary, Technical Abstract and the Non-ARS Author's Affiliation (the name of the Non-ARS author's company, university, employer) so that the information can be released to the public. It is not a request to give ARS permission to publish.
- CRADA Cooperators must review the publication and provide written clearance of their review. An Email is acceptable. A copy of the CRADA Cooperator clearance authorization must be sent to the NPA Technology Transfer Coordinator.
- Verbal authorizations are **not** acceptable. Clearance via Email or Clearance Forms created in-house by the Unit/Location are acceptable. (Exhibit 2).
- If a Non-ARS author refuses or declines to provide a written clearance the primary/lead ARS author can enter the ARS-115 into ARIS under these guidelines:

- C Enter the following statement into the Remarks block: 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.

- C Mark the block "Hold from Tektran Until Published." This will meet the ARS requirement to submit the publication into ARIS for approval to submit the manuscript for publication, but keep the ARS-115 from migrating to Tektran and the website until after the manuscript has been published by the journal or other media.
- C Please contact the Area Office for assistance or further guidance if there are concerns or if there is a question about marking the "Hold from Tektran Until Published" block.

4. Submission of an ARS-115

- All publications should be entered into ARIS in a timely fashion **prior** to submission to the journal and/or giving the presentation. It is the responsibility of the submitting scientist to provide the information to the individual responsible for ARIS entry, including updates such as the Acceptance and Publication Dates, and Citation information (e.g., Issue, Volume, Page number(s), etc).
- The ARIS data entry individual is responsible for assuring all publications are properly entered and/or updated in a timely fashion upon receiving the publication information.
- Line management approvals from all levels (RL/LD/CD and/or Area/NPS as applicable), must be obtained **prior** to submitting the publication to the journal and/or giving the presentation. Refer to the ARIS on-line manual for specific instructions and additional guidance/information at <http://www.npstaff.ars.usda.gov/ARIS/Manual/ARIS%20Chapter%205%20Revised%20January%202006.pdf>
- The ***Date Submitted to Journal*** is a required entry. Refer to the ARS-115 template/Exhibit 3.
- Submission of ARS-115s should be kept current and should not be entered into ARIS at the end of the calendar year only to satisfy SY performance report criteria. The Area Office suggests that where possible, all new ARS-115s be entered into ARIS prior to Nov. 1 and all modified/updated entries should be made prior to Dec. 15.
- Submission of ARS-115s by scientists who have transferred from one ARS location to another should attribute the submitted information to the Management Unit where the research was conducted. The RL of the Unit can submit the paper in ARIS and the ARS scientist who has transferred can be listed as the Contact Scientist with their current phone/fax/email provided. The original unit where the SY worked can use the 115 on their annual reports (421s). The SY submitting the 115 can also use it in their current unit (assuming it's applicable). The 1st ARS author listed on collaborative publications is generally the author responsible for entering the publication into ARIS.
- Submission of ARS-115s reporting previous research conducted by a SY new to ARS is at the discretion of the Research Leader (RL).

5. Unit Issued/In-House Fact Sheets (Not issued by the Extension Service or a Commodity Group)

- Fact Sheets prepared internally and issued by the Research Unit must obtain assessment and comment from at least two ARS scientists outside of the Research Unit **prior** to distributing or posting the ARS issued Fact Sheet.
- ARS in-house Fact Sheets: (1) may be entered into the ARIS 115 system; and (2) can be used in the annual 421 Progress Report or on Performance Evaluations.

6. Newspaper Articles, Interviews and Broadcasts, and/or Videos

- Interviews for local newspapers, media outlets, radio or television: This PM grants approval to do the interview. Please send a copy of the written interview to the Area Director and the Information Staff. If possible transcripts of audio/video interviews should be obtained and forwarded as above.
- Scientists invited to write articles for newspapers, granting interviews to major media (e.g. USA Today, CNN, Washington Post, NBC, etc.), providing interviews related to controversial or sensitive subjects, or developing videos: Area Director approval is required before participating. Refer to P&P 150.1 *Dissemination of Public Information by ARS* for additional instruction.
- Regular newspaper articles written by ARS Scientists: (1) articles should be based upon science conducted by the individual writing the article or on results in previously published journal articles; and (2) must not address or comment on policy or trade related issues. Please contact the Area Director if in doubt or if there are questions.
- The newspaper/media outlet holds the copyright when the article is written by the newspaper/media outlet reporter, which will require Non-ARS Author clearance for permission to post the reporter's name and employer/newspaper name to the ARS web site.
- The newspaper/media outlet must provide written permission for ARS to post or include a link to the newspaper/media outlet web site.

7. Use of ARS World Wide Web sites for posting electronic copies of manuscripts/publications

- Peer reviewed or refereed journal articles that have been published are allowed to be posted to web sites as a downloadable pdf. Refer to P&P 265.0 *ARS World Wide Web Sites* at <http://www.afm.ars.usda.gov/ppweb/PDF/265-0.pdf>
- ARS-115's will migrate from Tektran to the ARS main web site (under the People and Places link) from Tektran via an approved ARS-115.

8. "Missing" ARS-115 entries: publications that have not been entered into ARIS

On occasion scientists will identify publications that were not entered into the ARIS system in previous fiscal years. Publications from prior fiscal years may be entered into ARIS under the following criteria:

- The ARS-115 must be related to the mission of the unit and an explanation as to why the publication was not entered into ARIS entered into the Remarks block.
- The publication should not be listed in current ARS-421 Progress Report.
- The publication should not be used for the current or future annual Performance Evaluation cycle.

Publications from previous employment should be discussed with the immediate supervisor who will determine appropriateness of entry into ARIS.

9. Additional assistance in promoting ARS research and publications:

- The mission of the Information Staff (IS) is "*to inform the Nation of the nature and progress of ARS research through a coordinated, multi-media approach. The IS creates and disseminates materials to both the mass media and user groups.*"
- Please send a copy of the approved ARS-115 (or the PDF) to Ms. Sandy Miller-Hays, Director of the

Information Staff, via e-mail at sandy.millerhays@ars.usda.gov.

- The Information Staff may be able to use the upcoming publication for a news release or to promote the research activity of the Unit/Location through another medium.
- Additional information regarding the Information Staff and its services can be found at <http://www.ars.usda.gov/pandp/locations/locations.htm?modecode=04-04-00-00>

10. Questions, Assistance, Guidance and Contact Information

- Cooperator clearance for Non-ARS Authors, High Profile Topics, or Dual Use Research projects: Dr. Larry Chandler, Associate Area Director; larry.chandler@ars.usda.gov; 970-492-7058; or Dr. Michael (Mickey) McGuire, Assistant Area Director; 970-492-7058; michael.mcguire@ars.usda.gov
- CRADA Cooperator notifications/clearances and CRADA related research, Patents and Inventions: Dr. Bryan Kaphammer, NPA Technology Transfer Coordinator. 970-492-7028; bryan.kaphammer@ars.usda.gov
- Information Staff Contact: Ms. Sandy Miller-Hays, Director, sandy.millerhays@ars.usda.gov; Phone: 301-504-1638; Fax: 301-504-1648.
- ARIS data entry: Marcie Currie-Gross, Extramural Agreements Specialist. 970-492-7022; marcie.currie-gross@ars.usda.gov

/s/

W.H. Blackburn
Area Director
Northern Plains Area