

# ARS □ CSREES □ ERS □ NASS

## *Policies and Procedures*

***Title:*** Procedures for Publishing Manuscripts and Abstracts with Non-USDA Publishers (Outside Publishing)

***Number:*** 152.1-ARS

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***This Replaces:*** 152.1 dated 4/3/91

***Distribution:*** ARS Headquarters, Areas, Locations, and all Scientists

This P&P:

- Establishes clearance procedures for manuscripts and abstracts prepared for publication in non-USDA publications.
- Describes responsibilities of ARS personnel directly involved in preparing, reviewing, and clearing manuscripts and abstracts for publication in non-USDA publications.
- States procedures for non-USDA publications in regard to payment of assessed page charges, purchase of reprints from outside publishers, and reproducing reprint separates.

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## **1. Introduction and Statement of Policy**

Publication in non-USDA publications is an essential means of communicating ARS research results to other scientists and ARS customers. Publications are a primary product of the Agency's research activities, reflecting on ARS and the authors. All who participate in the preparation and review of a manuscript for publication have an opportunity and responsibility to contribute effective and useful communications of ARS research findings.

## **2. Authorities**

Title 18 U.S.C. 203 and 209

Title 44 U.S.C.

Joint Committee on Printing, Congress of the United States, Government Printing and Binding Regulations

OMB Circular A-130

Departmental Regulations 1410-1

## **3. Manuscripts and Abstracts: Preparation, Review, and Clearance**

### **ARS Author**

The ARS author is responsible for the following:

- Reviews authorship criteria established in REE P&P 152.2, "Authorship of Research and Technical Reports and Publications."
- Ensures technical accuracy and quality of the manuscript, abstract, or other document, hereafter referred to as manuscript.
- Ensures that the format and style of the manuscript meet the requirements of the publisher.
- When proprietary or brand names are used, adds the following disclaimer to the manuscript: "Mention of trade names or commercial products in this [article] [publication] is solely for the purpose of providing specific information and does not imply recommendation or endorsement by the U.S. Department of Agriculture."
- Ensures that manuscript is cleared by cooperating institution(s), if applicable.
- Consults with Research Leader (RL) regarding manuscript peer review requirements. The level of review before submission of a manuscript to a refereed journal or other publisher will be determined by the RL. If reviews are required, obtains documented reviews from

qualified peer(s) with knowledge and familiarity in the field of research. Form ARS-533 or any other RL approved process that results in an acceptable review may be used.

- Determines if manuscript contains a sensitive subject by using list provided by RL. This list originates from NPS.
- When manuscript is ready for submission for publication or presentation, submits to RL the following items:
  - Information needed for preparation and entry by research unit into the Research Management Information System (RMIS) via form ARS-115, Request to Submit Manuscript for Publication.

NOTE: Manuscripts that are the first formal report of original scientific research require an interpretive summary for inclusion in form ARS-115, prepared in accordance with guidelines in Exhibit 1.

- Manuscript, including revisions from any peer reviews.
- Required peer reviews.
- Discusses manuscript with RL and makes any necessary revisions.
- Revises abstract and/or interpretive summary for form ARS-115, if necessary.
- Following entry of form ARS-115 into RMIS by research unit, and appointed representative (see Glossary) signature approval on form ARS-115, submits manuscript to proposed publisher.

NOTE: If manuscript is sensitive, delay the submission of manuscript until form ARS-115 appears in RMIS approved by NPS.

- For manuscripts published in non-refereed scientific journals, such as proceedings of workshops, conferences, and symposiums, or technical and research reports, etc., three reprints of the entire article should be sent to Acquisition and Serials Branch, Technical Services Division, National Agricultural Library, Room 002, Beltsville, Maryland 20705.
- To facilitate compliance with OMB Circular A-130, requirements of the National Information Infrastructure, the additions to the Freedom of Information Act known as E-FOIA, and the requirements of the Americans With Disabilities Act, it is recommended that the author be prepared to comply with requests to provide copy of a digital archive of all manuscripts that are published (on floppy disk or other convenient electronic medium) to avoid having to recreate copy on demand.

## RL

The RL is responsible for the following:

- Determines authorship per REE P&P 152.2, “Authorship of Research and Technical Reports and Publications.”
- Ensures that scientists are adequately instructed about the need for writing and publishing the results of their research.
- Ensures proper preparation of manuscripts authored by scientists.
- Provides ARS approval of the content and quality of a manuscript resulting from research before submission for publication. Exercise of this responsibility is the last step in quality control of the product of ARS research. Oversight may be performed by the RL, or it may be delegated to a scientist in the unit knowledgeable in subject matter area, with skills in research design and manuscript preparation.
- Discusses with author the level of review, if any, required before manuscript is submitted for publication. This is determined by the RL. If it is decided that reviews are required, instructs scientist to obtain documented reviews from qualified peer(s) with knowledge and familiarity in the field of research. Assistance may be given in selecting the peer reviewers. Form ARS-533 may be used or any other RL approved review process that results in an acceptable review.
- Verifies that quality peer reviews were made, if required, and that reviewer’s comments have been adequately addressed by the author(s) and used to ensure scientific and technical soundness of the manuscript.
- Reviews manuscript before author submits to publisher to determine that it is in the best form possible to enhance communication of the research results.
- Resolves problems with author(s) on content or quality of manuscript.
- Resolves problems with author(s) on abstract and/or interpretive summary, if required, on form ARS-115.
- Requests assistance from the Institute Director (ID), Location Director (LD), and/or Area Director (AD) in resolving differences on manuscript content or quality when necessary.
- Ensures that author cleared manuscript by cooperating institution(s), if applicable.
- Ensures that form ARS-115 is entered into RMIS by research unit and that manuscripts that are the first formal report of original scientific research have an interpretive summary prepared in accordance with guidelines in Exhibit 1 for inclusion in form ARS-115.

- Reviews manuscript for sensitive subjects and ensures entry of “sensitive” designation, if any, on form ARS-115.
- Reviews form ARS-115 and authorizes entry of RL signature approval on form ARS-115 by research unit.
- If a manuscript is rejected by a publisher because of technical deficiencies, ensures that technical concerns are corrected (and that the manuscript is re-reviewed if necessary) before it is resubmitted or sent to another publisher.

## **AD**

The AD is responsible for the following:

- Implements policy on manuscript and abstract clearance for non-USDA publications to ensure that manuscripts and form ARS-115 meet ARS guidelines for quality. This may be delegated to the ID’s and/or LD’s.
- Provides assistance, when necessary, to RL in resolving differences on publication content or quality.
- Ensures RL’s have current list of sensitive subjects.

## **Office of Technology Transfer (OTT)**

OTT is responsible for the following:

- Receives form ARS-115 ( including interpretive summary), reviews for adherence to guidelines given in exhibit 1, and transfers the information from the work file in RMIS to the Technology Transfer Automated Retrieval System (TEKTRAN).
- Returns disapproved interpretive summaries to the author for revision or implementation of other recommendations, contacting the author’s supervisor when necessary.

## **4. Books, Monographs, and Electronic Publications: Preparation, Review, and Clearance**

In most circumstances, it will be to the Agency’s advantage and to the public’s benefit for an ARS author to publish with a non-USDA publisher. Authors are encouraged to respond positively to invitations to publish with scientific and academic publishers.

Authors planning to prepare a book, monograph, or electronic publication related to their official work or related to an ongoing or announced policy, program, or operation of the Department of Agriculture (regardless of whether or not the work is conducted on official or personal time) must first obtain a memo stating the approval of the RL or AD. The memo should identify the publisher and describe the proposed general content of the publication. The AD will forward a copy of each approved proposal to the Director, Information Staff (IS), for information.

Review and clearance of material approved for outside publication of books and monographs follows the same procedures as those for journal articles with one addition: On rare occasions, at his or her discretion and in accordance with Departmental regulations, the Director, IS, may require that the final manuscript also be reviewed by IS. This review will be for policy concerns only, not for editorial matters or scientific content. It will be provided with a rapid turnaround appropriate to the length and complexity of the manuscript.

## **5. Payment of Assessed Page Charges**

ARS is generally authorized by the Department to pay assessed page charges (see exhibit 2, "Authorization for Payment of Page Charges for Scientific and Technical Journals"). Page charge procurement requests are to be prepared in accordance with area and research unit policy; approved requests are to be purchased in the most efficient manner.

## **6. Purchase of Reprints and Books From Outside Publishers**

ARS is authorized to purchase reprints of articles prepared by ARS employees in their official capacity and published in a scientific or technical journal or symposium proceedings or as a chapter in a book. Purchase is restricted to reprints that are necessary to ARS in carrying forward its projects or in answering correspondence.

ARS is not authorized to use Federal funds to purchase covers for reprints.

ARS is authorized to purchase copies of books, symposium proceedings, workshop reports, and similar print and electronic publications containing material prepared by an ARS employee in his/her official capacity, but only in quantities sufficient for the use of the author(s) and other ARS entities, not for further distribution.

ARS may not enter into agreements to purchase reprints from a scientific or technical journal as a condition of publication in the journal. In line with routine publishing practices of many journals, purchase orders for reprints may be placed in advance of actual publication.

Similarly, ARS may not agree to purchase books, symposium proceedings, etc., as a condition of publication.

ARS may enter into cooperative agreements with non-USDA entities that include as part of the agreement, but not its entire purpose, production and printing or electronic reproduction of a publication for distribution by the non-ARS partner. This includes cooperative research agreements and contracts for conducting a scientific symposium. As part of such agreements, ARS may contract to receive a specified number of copies of a publication for redistribution.

ARS is authorized to purchase separate reprints of an article or copies of books prepared either by a Government employee who prepared the information outside his/her official capacity or by a private individual, provided that the article or book was:

- Already published when a determination or agreement to purchase copies was made.
- Prepared without any understanding, promise, or suggestion that such a purchase would be made.

Reprint or book procurement requests are to be prepared in accordance with Area and research unit policy; approved requests are to be purchased in the most efficient manner.

A reprint purchased by ARS may not be mailed or otherwise distributed “with author's compliments.”

## **7. Reproduction of Articles**

ARS may reproduce any scientific or technical journal article prepared by an ARS employee in his/her official capacity and published in a periodical or scientific or technical journal. Such an article may be printed or otherwise reproduced in accordance with the usual procedures for obtaining printing and reproduction.

ARS may reproduce a copyrighted article only with the written permission of the copyright owner.

## **8. Copyright**

Copyright protection under U.S. copyright law is not available for any work prepared by a Federal employee as part of his/her official duties. Therefore, neither ARS nor an ARS employee has a copyright in such a work, which may be freely reproduced by the public. In responding to a publisher's request to sign a transfer of copyright, an ARS employee should return the form unsigned with a transmittal letter containing the following statement:

The article cited was prepared by a USDA employee as part of his/her official duties. Copyright protection under U.S. copyright law is not available for such works. Accordingly, there is no copyright to transfer. The fact that the private publication in which the article appears is itself copyrighted does not affect the material of the U.S. Government, which can be freely reproduced by the public.



Note that even if such a copyright were to exist, an ARS employee cannot transfer the ownership of the copyright without authority to do so.

## **9. Compensation for Articles and Other Publications**

Articles and other publications prepared as part of a Federal employee's official duties are the property of the U.S. Government. Authors must not accept payment for official articles published in non-Government publications.

## **10. Summary of Responsibilities**

### **Manuscripts and Abstracts: Preparation, Review, and Clearance**

#### **ARS Author**

- Reviews authorship criteria established per REE P&P 152.2, “Authorship of Research and Technical Reports and Publications.”
- Ensures technical accuracy and quality of the manuscript.
- Adds disclaimer to the manuscript when proprietary or brand names are used.
- Discusses need for peer reviews with RL and, if applicable, obtains documented reviews.
- Determines if manuscript contains a sensitive subject.
- Enters information from form ARS-115 on the RMIS, including interpretive summary, if needed.
- Discusses manuscript with RL, making revisions as necessary.
- Submits manuscript to proposed publisher following appointed representative signature approval on form ARS-115.
- Sends three reprints to the National Agricultural Library.
- Maintains a digital archive of all manuscripts that are published.

## **RL**

- Determines authorship criteria per REE P&P 152.2, “Authorship of Research and Technical Reports and Publications.”
- Provides ARS approval of the content and quality of a manuscript resulting from research before submission to publication.
- Determines the need for peer reviews, instructs the author accordingly, and verifies that such peer reviews were made.
- Ensures that form ARS-115 is entered into RMIS.
- Reviews manuscript for sensitive subjects.
- If a manuscript is rejected by publisher because of technical deficiencies, ensures that technical concerns are corrected before the publication is resubmitted to another publisher.

## **AD**

- Implements policy on manuscript and abstract clearance to ensure quality.

## **OTT**

- Reviews form ARS-115, including interpretive summary.
- Transfers information from form ARS-115 and interpretive summary to TEKTRAN.

## **Books, Monographs, and Electronic Publications: Preparation, Review, and Clearance**

### **ARS Author**

- Obtains approval of RL, AD, and Director, IS, before preparing a book, monograph, or electronic publication for a non-USDA publisher during official duty time and during off-duty time when the subject matter is related to author’s official duties.

## **RL**

- Provides approval to author for preparation of a book, monograph, or electronic publication by a non-USDA publisher when prepared during official time and during off-duty time if the subject matter is related to the author's official duties.

## **AD**

- Provides approval to author for preparation of a book, monograph, or electronic publication by a non-USDA publisher when prepared during official time and during off-duty time if the subject matter is related to the author's official duties.

## **11. Glossary**

**Abstract.** Brief technical description of an oral or poster presentation printed in a meeting announcement, proceedings, or program and not accompanied by full-length manuscript.

**AD.** Area Director

**Appointed representative.** Designated person authorized to act.

**Assessed page charges.** Cost of processing, publishing, and distributing a research manuscript through an outside scientific or technical journal.

**Electronic publications.** Material distributed as a finished product in a digital format, including CD-ROM, magnetic tape, floppy disk, electronically readable/viewable/transmittable files (via the internet or other telecommunications medium), and so on, is considered a publication if it would be considered a publication in print. Software and digital databases (including simulation models and expert systems) distributed as products with user and/or technical documentation or other user aids such as tutorials are regarded as publications. Online databases that are frequently updated are not publications.

**Form ARS-115.** Request To Submit Manuscript for Publication (automated on RMIS)

**Form ARS-533.** Manuscript Peer Review (local reproduction)

**GPO.** Government Printing Office

**ID.** Institute Director

**IS.** Information Staff

**Interpretive summary.** Brief explanation of the reason for, accomplishment of, and significance of the research in language intelligible to the general public.

**LD.** Location Director

**Manuscript.** A scientific paper authored or coauthored by ARS scientific personnel that describes or reviews scientific research and is intended for publication as follows:

In a scientific journal.

In a semitechnical or trade journal.

As a scientific literature review or book chapter.

As a popular article.

In a meeting or symposium proceedings or workshop report.

**Non-USDA publications.** Print and electronic publications not published by USDA or any of its agencies. Refers mainly to scientific and technical journals, trade publications, and academic and scientific books. Where USDA or any of its agencies is listed as a cooperating publisher, the publication is considered a USDA publication (see P&P 151.1, “Publishing [Print and Electronic]”).

**Monograph.** 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.

**OTT.** Office of Technology Transfer

**Publication.** The issuance of information in printed or electronic form or (for patent purposes only) a formal presentation attended by people other than USDA employees or cooperators involved in the research.

**RL.** Research Leader

**RMIS.** Research Management Information System

**Technical abstract.** Brief technical description that accompanies a full length manuscript.

**TEKTRAN.** Technology Transfer Automated Retrieval System

/s/

FLOYD P. HORN

Administrator

Agricultural Research Service

Exhibits

1 Guidelines for Preparing Interpretive Summaries

2 Authorization for Payment of Page Charges for Scientific and Technical Journals

### Guidelines for Preparing Interpretive Summaries

Interpretive summaries are the only systematic means for obtaining timely and Agencywide information about new ARS scientific findings. These statements should be well written because they serve many critical uses in the Agency including decisions about resource allocations, budget development, program planning, communications with Congress and the Executive Branch, policymakers, technology transfer, and Information Staff activities.

An interpretive summary does more than repeat or paraphrase the manuscript. It tells the meaning or value of the research in terms intelligible to the general public. The interpretive summary should contain the following information:

- **Problem**--Clear statement, in one to three sentences, of the problem that is being solved or studied and why.
- **Accomplishment**--Statement of what was accomplished, not how it was done.
- **Contribution of Accomplishment to Solving the Problem**--Statement of the nature, and where possible, the magnitude of the benefits of the accomplishment. This statement should be as specific as possible. Some accomplishments directly benefit scientists (including scientists in industry and in action and regulatory agencies) but do not directly benefit farmers and consumers. In such cases, this text should identify the accomplishment's impact on science, the area of science that will use the results, and the probable advancement of technology.

An interpretive summary is required for a completed paper that reports original scientific research. An interpretive summary is not required for a literature review, book chapter (unless reporting original research), book review, or oral presentation (where only the title or abstract is published). An approved interpretive summary of a scientific paper that will be included in the ARS TEKTRAN is available to a broad spectrum of users (including private industry and Federal action agencies and the general public via the Internet) and observers of the agency's research accomplishments. If the information does not meet these guidelines, the interpretive summary may be returned to the AD for revision.

Following is an example of an acceptable interpretive summary:

#### **Plant Parasitic Nematodes in the Potato Growing Areas of Maine: Population Growth and Reduction, Crop Rotation Effects, and Disease-Causing Relationships**

A survey was conducted in Maine to accumulate information on plant parasitic nematodes and their effect on potato production. The objective was to determine population growth and reduction of nematodes that parasitize plants, effects of crop rotation sequences on nematode reproduction, and possibilities of disease-causing relationships between nematodes and fungi.

*Pratylenchus penetrans* was the most frequently encountered nematode. The rotation of potato-oats had the highest nematode counts, whereas rye-potato had the lowest nematode counts. Stem pieces and potato roots that had symptoms of yellowing and wilt early in the season were found to have the fungi *Verticillium dahliae* and *V. albo-atrum*, as well as *Pratylenchus spp.* together in 9 out of 27 samples. This combination of nematodes and fungi has been associated with the disease called potato early dying syndrome, found in other potato-growing areas of the United States. The results of this survey are important to the potato industry in Maine in that the survey has identified the important pest nematodes, rotation schemes that increase or decrease these pests, and the disease complex that may be causing economic loss in the potato-growing areas of Maine.

## Exhibit 2

### Authorization for Payment of Page Charges for Scientific and Technical Journals (quoted from Department Regulations 1410-1)

Some scientific and technical journals require authors or institutions to assume part of the cost of publishing their papers, or the cost of the excess over a specified number of pages, or all or part of the cost of tabular or illustrative matter. The selection of and payment to such journals shall be processed through the appropriate contracting office in accordance with applicable statutes and regulations. The authority to pay page charges carries the following instructions:

- (1) Conditions for Payment of Costs. Whenever it is administratively determined that results of scientific research conducted by a USDA agency can be published most advantageously in journals requiring assessed page charges, such costs may be paid from available funds of that agency if the agency head or designee determines that the following conditions are met:
  - (a) Costs. The Government will bear only a part of the entire cost of publishing the articles, so long as such part is less than the cost of publication through the GPO and the charges are equitably distributed among all contributors.
  - (b) Nature of Article. The article must be a concise and significant original contribution to a field of scientific knowledge within the responsibility of the agency, and tabular and illustrative material is essential.
  - (c) Nature of Journal. The journal concerned must be an established scientific journal that is recognized in its field and reaches the desired audience. It must also maintain an editorial board which insures that the sharing of publication costs does not influence editorial policy and must levy its charges impartially on all manuscripts published, whether submitted by non-Government or Government authors. (See also 32 Comptroller General 487 and 3 Comptroller General 785.)
- (2) Charges for Author Alterations Unauthorized. Charges made by scientific journals for author's alterations or for immediate or quicker publication are not authorized.
- (3) Inapplicability of Printing Limitations. The partial costs for publication of scientific articles in technical journals are construed to be printing costs, but waivers from GPO are not required.