



## Document Inclusion Policy and Guidelines

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### **INTRODUCTION**

This document provides guidance as to the types and formats of materials that are included in the NOAA Institutional Repository. For more information on submissions please contact [noaa.repository@noaa.gov](mailto:noaa.repository@noaa.gov).

There are two categories of publications that are mandatory for inclusion and one that is optional.

### **MANDATORY PUBLICATIONS**

First, the [NOAA Publications Policy](#) requires inclusion of any document in a NOAA series as described in [NOAA Administrative Order 201-32G](#) that is produced after Oct 1, 2015, intended for public distribution, and includes the presentation or discussion of research. Examples of this category include these four (4) NOAA series :

1. NOAA professional papers
2. NOAA atlases
3. NOAA technical reports
4. NOAA technical memorandums

Second, NOAA-authored and NOAA-funded journal articles published after Oct. 1, 2015 must be submitted as well. Journal article submissions should consist of the final, peer-reviewed but pre-publication manuscript. In cases where the NOAA Central and Regional Libraries have permission to post the published version, we will do so. The NOAA Institutional Repository will make these available after an embargo period of no more than one year.

## **OPTIONAL PUBLICATIONS**

Per the NOAA PARR Policy, the NOAA Central and Regional Libraries may include other NOAA-produced documents and series that are to be sent to the NOAA Central Library per [NOAA Administrative Order 205-17A](#), but not specified in the NOAA PARR Plan, into the IR upon mutual agreement between the submitter and the NCRL.

### **Criteria Considerations**

When looking at documents for possible inclusion consider:

1. Is it NOAA-produced or NOAA-sponsored and/or funded? If not, then the item will **not** be included in the IR.
2. Who is the audience for this document? Is it intended for wide dissemination or mostly within a specific office/program? As a general rule, items in the IR are intended for a wide audience and will be available to the general public. If the document has any sensitive information or PII it should not be submitted to the IR.
3. Is it ephemeral? The library defines ephemeral as items are one-time or limited use. Some examples may include: Posters, pamphlets, presentation slides, or advertising materials. This does not necessarily preclude an item from being added to the repository, but it should be considered when assessing whether an item is appropriate for inclusion. When looking at ephemera, subject matter and audience should also be determined.
4. Can the document stand on its own, or does it depend upon other sources of information to interpret? For example, a document that consists only of tables or graphs, or data without explanatory text would not be suitable for the Repository.
5. Does the item have a title page or other identifying information? Everything we put into the Repository should have a title page or at least a header that shows the title, author(s), issuing office, and date of issuance.
6. Is the item available elsewhere? Is this item or items best served by being added to the repository? Will they lose any context? Do they rely on supporting files for explanation? While the need for supporting documentation does not preclude an item from being added, it should be considered when determining if a document should be

sent to the NOAA IR. Additionally, if supporting files exist they should be sent with the main publication for inclusion.

**7. Is the item in its final form?** The Repository *cannot* accept draft items nor any single document that is continually updated. Exceptions will include the final, peer-reviewed, pre-publication versions of article manuscripts such as [this item](#). If you have questions about a particular item, please forward it to [noaa.repository@noaa.gov](mailto:noaa.repository@noaa.gov) and staff will get back to you with a response.

### Included Material Examples

Some examples of documents the Library has opted to add to the NOAA IR include:

- Strategic plans
- Annual reports
- Cruise reports
- Program reviews (final reports)
- Conference/Workshop proceedings (only NOAA-produced)
  - Conference proceedings published as peer-reviewed journal articles will be accepted as journal articles. Ex:  
<https://repository.library.noaa.gov/view/noaa/18340>
- Congressional reports (“Reports to Congress”)
- Processed Reports (professional papers)
- Educational materials --lesson plans, manuals, guidebooks, activity books,
- Recovery plans
- Status Reviews
- Agreements (Interagency/International/Operating) --only if available to the public
- Guidance Documents (depending on audience, i.e., available for public consumption); such as compliance, research, etc.
- White Papers: special criteria- title page, issuing office, author(s), date. If these items are missing, the document will not be accepted.
- Letters of Concurrence
- Biological Opinions
- Newsletters on a case-by-case basis. As a general rule, if the newsletter is research-based and/or focused it would be a candidate for inclusion. These publications should be free from PII (personally identifiable information) and general announcements. If you have a newsletter that you feel should be included please contact the NOAA IR Team ([noaa.repository@noaa.gov](mailto:noaa.repository@noaa.gov)) for a formal document review.

### **EXCLUSIONS**

Per the [NOAA PARR Policy](#), “Documents intended for internal use only or materials developed for litigation would not be included” in the NOAA IR (pg. 9). Other documents and items to be excluded from the repository include:

- Letters/Correspondences (Letters of Concurrence are included as Supporting Files)
- Forms
- Grants
- Permits
- Petitions
- Trainings/Presentations
- Software
- Posters
- Progress reports
- Legal decisions (see <https://alaskafisheries.noaa.gov/appeals/search> for examples)
- Pamphlets
- Datasets: however, links from publications and documents to datasets located in NOAA data repositories should be included in submission information. Some small datasets or data tables may be included as supporting files for documents. If you are unsure if your data would be suitable, please contact the NOAA IR Team ([noaa.repository@noaa.gov](mailto:noaa.repository@noaa.gov)) for a formal document review.
- Book Chapters: in some instances the NOAA IR may be able to include these, especially if the item is open access. Please contact the NOAA IR Team for more information.
- Dissertations and Theses
- Freedom of Information Act (FOIA) Requests and Responses

## **DOCUMENT REQUIREMENTS FOR SUBMISSIONS**

All documents submitted to the NOAA Institutional Repository must exhibit the following characteristics:

### *NOAA Publications:*

- Be in PDF format (supporting documents may be submitted in additional formats such as MS Office documents, external HTML links, videos, etc.)
- Must be the final version--drafts are not accepted
  - *Recommendations for submitted document format and contents*
    - All publications added to the Repository must have a title page or lacking that, a header indicating the document title, author(s), issuing office, and date of issuance.
- Be Section 508 compliant (applies to NOAA Publications & Manuscripts, as well as supporting documents)
  - Bookmarks (if the document is under 20 pages, bookmarks are not required)

- Tagged document (text tagged as Paragraph/Text, Figures tagged as Figures, Tables as Tables, etc.)
- Alternative text for images and figures (including graphs and charts)
- Logical reading order
- Document properties include the item's title and language

### *Journal Articles*

Journal articles that are submitted must be a post-print or post-refereed manuscript, unless the item is published as an Open Access article or in an OA journal. A post-refereed, pre-publication manuscript is a draft of a manuscript after it has been peer reviewed but does not have publisher added content like pagination and logos. An example of this can be found [here](#). Journal article manuscripts **DO NOT** need to be made 508 compliant prior to submission and can be submitted in either MS Word or PDF format. These publications should be submitted through the [Manuscript Remediation Form](#).

For open access publications, the NOAA IR is permitted to use the version of record (VOR), referring to the final publisher's version/PDF. In these instances, no Section 508 remediation is required.

### **DIGITAL OBJECT IDENTIFIERS (DOIs)**

The NOAA Central Library may, at their discretion and in consultation with document authors, issue DOIs for publications meeting the following criteria:

- Is a NOAA Publication as defined by [NOAA Administrative Order \(NAO\) 201-32G](#). This includes NOAA series documents such as Technical Memorandum, Technical Report, Professional Papers, Reports to Congress, etc. Other types of publications may be considered on a case-by-case basis. Please contact [noaa.repository@noaa.gov](mailto:noaa.repository@noaa.gov) to request a document review.
- Must be published after 2015
- Must be a final versions (Drafts will not be accepted)
- Does not already have a DOI assigned
- Publications must be submitted to the NOAA Institutional Repository. Note: DOI links will not be functional until a final, Section 508 compliant version of the document has been submitted to and processed by the NOAA IR.

### *Reserving a DOI*

The NOAA Central Library may agree to create a reserved DOI for a publication that has not yet been deposited in the Library's Institutional Repository (IR) by submitting a request via the NOAA Central Library [DOI Request Form](#). The intent of this service is to provide a DOI link to authors prior to publication in order to embed the link within the document. Once embedded, documents shall be submitted through normal IR submission procedures.

NOAA Central Library reserves the right to delete all DOIs that have not been submitted to the NOAA IR. Before deletion, the NOAA Central Library will contact submitters to obtain an update as to the status of the document.

## **VERSIONING**

The NOAA IR will accept new versions of documents already existing within the system. All previous versions of a document will remain in the NOAA IR with their original PIDs and DOIs (if applicable), however, they will be marked as “Superseded” and will be linked to the newest/current version of the document.

## **RETRACTIONS**

All publications in the NOAA IR are linked directly to the official Version of Record (VOR), typically the publisher’s version, via DOI links when available, or permanent URLs. In the instance of a publication (either the publisher’s version or manuscript version) housed within the NOAA Institutional Repository being retracted, the publication will be: (1) marked as Retracted on the document’s landing page, (2) the document type will be changed to “Retracted”, and (3) a link to the retraction notice in the publishing journal will be added to the record. Retracted documents will not be removed from the IR.

Retraction notices should clearly state why the article is being retracted, either by the author(s) or the journal editor, preferably via legal counsel. All notices of retraction must be in a citable format. The NOAA IR does not differentiate between articles that are retracted because of honest error(s) and those that are retracted because of scientific misconduct or plagiarism.

For any questions or concerns regarding this policy please contact the NOAA Institutional Repository Manager, Jennifer Fagan-Fry ([jennifer.fagan-fry@noaa.gov](mailto:jennifer.fagan-fry@noaa.gov)).