

U.S. Department of Energy
Washington, D.C.

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Cancelled by
DOE 1340.1B
8-1-7-93

ORDER

DOE 1340.1A

8-25-82

Change 1: 4-14-83

**SUBJECT: MANAGEMENT OF PUBLIC COMMUNICATIONS PUBLICATIONS AND
SCIENTIFIC, TECHNICAL, AND ENGINEERING PUBLICATIONS**

1. PURPOSE. To prescribe policies, standards, and procedures for effective management of Department of Energy (DOE) publications.
2. CANCELLATION.
 - a. DOE 1340.1, MANAGEMENT OF PUBLIC COMMUNICATIONS PUBLICATIONS, AND SCIENTIFIC, TECHNICAL, AND ENGINEERING PUBLICATIONS, of 8-10-79.
 - b. DOE N 1350.1, MORATORIUM ON THE PRODUCTION OF NEW PERIODICALS, PAMPHLETS, AND AUDIOVISUAL PRODUCTS, of 5-12-81.
3. SCOPE. The provisions of this Order apply to all Departmental Elements, except for the Energy Information Administration's statutory responsibility and authority that exempt them and their contractors from compliance with certain aspects of this Order. The Order also applies to all DOE contractors, subcontractors, and financial assistance recipients performing work for the Department, who produce publications or obtain publication services with DOE funds and that contain provisions in the contract or financial assistance instrument implementing the requirements of this Order.
4. REFERENCES.
 - a. Public Law 95-91, "Department of Energy Organization Act," which established the Department of Energy.
 - b. Title 44 United States Code (U.S.C.), "Public Printing and Documents," which establishes policies concerning publications Government-wide.
 - c. Title 5 U.S.C., Section 552, "Public Information: Agency Rules, Opinions, Orders, Records, and Proceedings," which establishes freedom of information policies for public access to U.S. Government information.
 - d. Title 39 U.S.C., Section 3204, "Restrictions on Use of Penalty Mail," which establishes policies on the use of penalty mail.
 - e. "Government Printing and Binding Regulations," Joint Committee on Printing, Congress of the United States, No. 24, of 3-77, which establishes policies for the production of Government printing.

DISTRIBUTION:
All Departmental Elements
Federal Energy Regulatory Commission (info)

INITIATED BY:
Office of Public Affairs

- f. "Government Paper Specifications Standards," Joint Committee on Printing, Congress of the United States, of 12-81, which establishes standards for paper used in production of Government printing.
- g. "Agency Procedural Handbook for Commercial Procurement of Printing Services," Government Printing Office (GPO), of 9-81, which outlines procedures to be followed in working with the GPO.
- h. Office of Management and Budget Circular A-3, "Government Periodicals," of 5-18-72, which establishes the policies and procedures relating to the statutory responsibility (Title 44 U.S.C. 1108) of department heads to justify both the necessity of certain periodicals and the availability of appropriated funds to issue them.
- i. DOE 1330.2, UNIFORM CONTRACTOR REPORTING SYSTEM, of 3-1-79, which establishes requirements for reporting to the Department.
- j. DOE 4200.3, MANAGEMENT OF SUPPORT SERVICE CONTRACT ACTIVITY, of 1-15-82, which provides policy, procedures, and responsibilities for the management of support service contracts.
- k. Technical Information Distribution, TID-4500, "Standard Distribution for Unclassified Scientific and Technical Reports," and M-3679, "Standard Distribution for Classified Scientific and Technical Reports," DOE Technical Information Center, which establish standard distribution patterns for DOE scientific and technical reports.
- l. DOE 1000.2, DEPARTMENT SEAL AND FLAG, of 8-25-78, which prescribes policies on the use of the Departmental seal.
- m. American National Standards Institute which establishes standards for scientific and technical reports. The following standards are available to Headquarters staff at the Germantown DOE Library; others may obtain copies from the American National Standards Institute Headquarters, 1430 Broadway, New York, NY 10018, Attention: (Sales Office):
 - (1) American National Standards Institute Standard Z39.14-71, "Writing Abstracts."
 - (2) American National Standards Institute Standard Z39.18-74, "Outlines for Format and Production of Scientific and Technical Reports."
 - (3) American National Standards Institute Standard Z39.23-74, "Technical Report Number."
- n. DOE 5632.1, PHYSICAL PROTECTION OF CLASSIFIED MATTER, of 9-10-79, which prescribes policy, objectives, responsibilities, and authorities for the physical protection of classified matter.

- o. DOE 5635.1, CONTROL OF CLASSIFIED DOCUMENTS AND INFORMATION, of 11-24-80, which provides guidance relative to the safeguarding and control of classified documents and information.
- p. DOE 5650.2, CLASSIFICATION OF INFORMATION MANUAL, of 12-12-78, which establishes policies and procedures for the classification system.
- q. DOE Procurement Regulations, 41 CFR Part 9, of 5-21-79, and revisions which implement and supplement Federal Procurement Regulations in relation to Department procurement.
- r. DOE Assistance Regulations, 10 CFR Part 600, of 3-1-79, which implements and supplements OMB Circulars and other Government-wide assistance guidance.
- s. Office of Management and Budget Bulletin No. 81-21, "Designation of the Single Official Required by the Paperwork Reduction Act of 1980," Public Law 96-511, of 6-8-81, which requires the designation of the single official for information resources management.
- t. DOE 1350.1, AUDIOVISUAL AND EXHIBITS MANAGEMENT, of 10-28-81, which provides policy, responsibilities, and procedures for the management and control within the DOE of all audiovisual productions and exhibits.
- u. Office of Management and Budget Bulletin No. 81-16, "Elimination of Wasteful Spending on Government Periodicals, Pamphlets, and Audiovisual Products," of 4-21-81, which provides procedures and guidelines for eliminating unnecessary Federal spending for the development and printing of periodicals and pamphlets, and for the production or procurement of audiovisual products. The bulletin also provides the authority for the Department to establish a publications and audiovisual control system.
- v. DOE 5300.1, TELECOMMUNICATIONS, of 12-19-78, which establishes policy and general guidance for the use, review, coordination, and provision of Telecommunications Services for the Department.
- w. Office of Management and Budget Circular A-16, "Coordination of Surveying and Mapping Activities," of 5-6-67, which provides procedures for the coordination of Federal surveying and mapping activities.
- x. Title 17, U.S.C., which establishes copyright procedures.
- y. Federal Property Management Regulations (FPMR), 41 code of Federal Regulations (CFR) Chapter 101, as established by the General Services Administration (GSA), which are used by executive agency officials in prescribing regulations, policies, procedures, and delegation of authority pertaining to the management of property and records, and other programs and activities of the type administered by GSA, except procurement and contract matters contained in Federal Procurement Regulations (FPR).

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- z. Department of Energy Property Management Regulations (DOE-PMR), 41 CFR Chapter 109, which implements and supplements the FPMR's governing the acquisition, utilization, management, and disposition of personal property and supplies.



William S. Heffelfinger
Assistant Secretary
Management and Administration

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CHAPTER I
DEFINITIONS

1. COPYING/DUPLICATING. The production of material by use of automatic copy-processing or copier-duplicating machines employing electrostatic, thermal, and other copying processes.
2. DOE/RECON. A Departmentwide online interactive information retrieval system through which the Department and contractors gain access to over 1.7 million abstracted and indexed citations to scientific and technical energy information needed to expedite mission accomplishment. DOE/RECON provides access to over 30 bibliographic and nonbibliographic data bases covering patents, research and development reports, summaries of energy research projects, domestic and foreign journals, monographs, speeches, graphs, tables, and other materials.
3. DESIGN. The visual and aesthetic content of the publication, including illustrations, photographs, charts, diagrams, graphs, maps, the use of color, type sizes, and word/space relationships.
4. DEVELOPMENT COSTS. Research that is incidental to manuscript preparation, writing, editing, and necessary graphics. If composition costs are separated from printing charges, these costs also must be included.
5. DISTRIBUTION.
 - a. Initial or Primary. That distribution which is made automatically and routinely to an approved mailing list immediately following the initial printing. Normally, it will consist of one or more of the following mailing lists:
 - (1) Office of Administrative Services (MA-40) document distribution system lists;
 - (2) Technical Information Center (MA-7) Standard Category lists;
 - (3) Special one-time lists; and
 - (4) Storage copies for MA-7 secondary distributions.
 - b. Secondary. Response to requests and distribution plans following the primary distribution.
6. DISTRIBUTION AND STORAGE COSTS. Costs of both direct distribution (at time of printing) and indirect distribution (from inventory in response to requests). The indirect costs should involve an average cost as well as single-copy and bulk distribution costs. Storage costs reflect the per-square-foot cost of

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warehousing the inventory on an annual basis. (Note: This definition refers to all authorized distribution and storage sites except the Technical Information Center, which is discussed in Chapter III.)

7. DOCUMENT DISTRIBUTION SYSTEM. A Headquarters-managed, computer-based system designed for updating distribution lists, producing mailing labels, and identifying copy requirements.
8. DOCUMENT REGISTRY SYSTEM. A computerized inventory control and accountability management system operated by the Technical Information Center for registering DOE publications, for providing an historical record of dissemination data, for maintaining records of demand, and for providing on-demand distribution for publications.
9. DOCUMENTATION. The incorporation of appropriate identification on a publication such as: document number; title; individual and corporate authors; contract number; whether revised or reprinted; volume number; conference information (title, date, place, sponsor(s)), responsible office, and Departmental Element; date and place (city, state, and ZIP code) of publication; and any restrictions to its use such as security classification, proprietary restrictions, stock statement, and disclaimer language.
10. ENERGY DATA BASE. An information file that contains over 700,000 scientific and technical information citations and is used by DOE organizations and contractors in carrying out their assigned missions. All unclassified scientific and technical information processed at the Technical Information Center, as well as information from sources throughout the industrialized world, can be found in this data base. First priority is given to entering DOE-sponsored research and development results, but the file also includes journal articles, reports, conference proceedings, patents, books, monographs, theses, and engineering materials, all of which are abstracted and indexed for inclusion in the data base. Coverage includes all forms of energy. The data base is updated twice a month, and over 150,000 new citations are added each year.
11. MICROPUBLISHING. Publications produced in miniaturized image format for general distribution as a substitute for conventionally printed material. Microfilming of administrative records is not considered micropublishing.
12. POST-PUBLISHING EVALUATION. The establishment of a means for measuring the effectiveness of a given publication. This process may involve a response card for users, a direct contact with users, or other means for establishing the value of the document.
13. PRINTING. The processes of composition, platemaking, imposition, presswork, binding, micropublishing, and the equipment identified in the tables in Title II of the JCP regulations and used in such processes.
14. PUBLICATIONS. All documents produced by printing, copying, and microfilming methods using DOE funds which are intended for, or which may result in

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distribution, however limited, outside the originating organization. This includes, but is not limited to, public communications publications (see paragraph 14a below) and scientific, technical, and engineering publications (see paragraph 14b below). Not included in this definition are press releases and advisories, speeches (except when reprinted as a publication), correspondence, memoranda, forms, directives, and "Federal Register" issuances. Also excluded are solicitation documents, contracts, notices of procurement, grant program announcements, legal briefs, and patent applications. Please note that contracts, grants, or other procurement actions that involve public communications publications must be reviewed by the Director of Public Affairs (CP-20) prior to such action (see Chapter III, paragraph 2a).

- a. Public Communication Publications. Includes publications produced with DOE funds and intended for distribution by DOE, its contractors, or its financial assistance recipients to the public, including those of more limited circulation that involve policy changes, or matters of current public controversy or concern. These include, but are not limited to books, pamphlets, folders, booklets, posters, periodicals, newsletters, and similar printed material (see Chapter III).
 - b. Scientific, Technical, and Engineering Publications. Includes all scientific and technical information prepared by or for DOE and used primarily by the program managers and the scientists, engineers, and technologists engaged in the work. This unclassified information is also made available for public sale through the National Technical Information Service (NTIS), U.S. Department of Commerce and includes such items as scientific and technical manuscripts, technical reports, machine readable bibliographic data bases, computer software programs, socio-economic and educational publications, journal article preprints and reprints, conference papers and proceedings, foreign trip reports, theses, translations, patents and patent applications, and engineering materials.
15. STANDARD DISTRIBUTION SYSTEM. The system by which DOE disseminates the results of its research and development program to its program managers, contractors, and others. This dissemination is controlled by the Department's standard distribution lists, maintained by the Technical Information Center in consultation with the program managers or their designated representatives. The standard distribution system is a Technical Information Center (MA-7)-managed, computer-based system designed for the distribution of unclassified and classified scientific and technical information products, production of mailing labels, and the identification of the number of copies needed to fulfill distribution requirements.

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16. TASK. One of a series of logical steps necessary to achieve the purpose of a research, development, and demonstration procurement action.
17. TECHNICAL INFORMATION CENTER (MA-7). The Department's central technical information facility responsible for developing, designing, implementing, and evaluating Departmentwide systems and programs to effectively manage the scientific and technical information resulting from, or needed by, program and project managers, scientists, and engineers. This includes acquiring, collecting, processing, announcing, storing, and disseminating technical information.

CHAPTER II

POLICY, RESPONSIBILITIES, AND AUTHORITIES

1. POLICY. The publications management program shall be conducted in accordance with this Order, provisions of law, and applicable regulations. The objectives of this chapter are to effectively originate, coordinate, produce, distribute, and inventory publications appropriately describing the Department's activities.
2. RESPONSIBILITIES AND AUTHORITIES.
 - a. Assistant Secretary for Congressional, Intergovernmental, and Public Affairs (CP-1).
 - (1) Establishes through the Director of Public Affairs (CP-20) policies for managing and controlling public communications publications content, documentation, attribution, registry, inventory, and distribution.
 - (2) Reviews through CP-20 all procurement requests for contracts and financial assistance awards in which a public communications publication is planned or will be developed (see page I-3, paragraph 14a) for conformance with established policy and budget criteria.
 - (3) Reviews through CP-20 all products, such as manuscripts, or associated materials resulting from contracts, grants, or other procurement actions, defined as public communications publications to determine that they adhere to the criteria approved before printing and/or distribution. (See page III-3 for criteria.)
 - b. Assistant Secretary, Management and Administration (MA-1).
 - (1) Establishes policy for managing and controlling scientific, technical, and engineering publications design, documentation, attribution, registry, inventory, and distribution.
 - (2) Establishes policies, standards, procedures, and guidelines for reporting, collecting, and disseminating information resulting from research and development programs.
 - (3) Establishes policies for the sale of publications through authorized outlets and limits free distribution to the minimum consistent with DOE objectives.
 - (4) With the assistance and concurrence of the Assistant Secretaries for Defense Programs and International Affairs, General Counsel, and other appropriate program Assistant Secretaries, negotiates agreements with foreign countries.

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- (5) Through the Director of Procurement and Assistance Management (MA-90):
- (a) Assures that all contracts, grants, or other procurement actions that involve a public communications publication are submitted to CP-1 for review (through CP-20) prior to such actions. Assures that this requirement is made known in the form of notices, bulletins, or contract standard language to all contract offices in all DOE-funded organizations, operations, and programs.
 - (b) Includes specific language in procurement regulations which conforms to this Order and assures that provisions of contracts and other agreements which result in reports, design, graphics, and publications to be produced and distributed at DOE expense are consistent with such language and are appropriately reviewed before procurement action.
- (6) Through the Manager, Technical Information Center, manages the central DOE distribution and warehousing operation; in addition, maintains, manages, and operates the document registry system for registering and managing the inventory for all public communications publications and publications intended for on-demand distribution; provides statistical and logistical support to program offices as necessary; responds to requests for individual publications, and provides bulk distribution of public communications publications in collaboration with CP-20.
- (7) Through the Director of Administrative Services (MA-40):
- (a) Represents DOE with the Joint Committee on Printing, Government Printing Office, General Services Administration, and other Federal Government organizations concerning printing and related printing activities.
 - (b) Develops, implements, and evaluates policies, standards, and procedures for printing and related printing activities to assure that DOE publications are produced in accordance with this Order, provisions of law, and applicable regulations.
 - (c) In consultation with CP-20, develops and implements a program to evaluate Departmentwide publications printing activities.
 - (d) After review by the Office of Public Affairs, forwards to the Office of Management and Budget, as appropriate; requests for establishment or continuation of journals, magazines, newsletters, periodicals, and similar publications as required by the Office of Management and Budget Circular No. A-3, "Government Periodicals."

- c. Director of Policy, Planning, and Analysis (PE-1). Assures that publications referred by originating organizations or CP-20 are reviewed for proper reflection of Departmental policy.
- d. Assistant Secretary for Defense Programs (DP-1) assures that publications referred by originating organizations, CP-20, or MA-7 are reviewed for policy and classification.
- e. General Counsel (GC-1).
 - (1) When requested, the Assistant General Counsel for Legal Counsel will assure that the substance of a publication is in accordance with all laws and regulations other than those spelled out in subparagraph (2).
 - (2) The Assistant General Counsel for Patents assures that proposed scientific, technical, and engineering publications have patent clearance, and that proposed publications referred by originating organizations or CP-20 comply with laws and regulations concerning patents, copyrights, trademarks, disclaimer notices, and nondisclosure of proprietary data.
- f. Heads of Departmental Elements.
 - (1) Through the contracting officer, assure that DOE and DOE contractor organizations and financial assistance recipients comply with the provisions of this Order, and that appropriate and specific clauses are included in contracts and financial assistance awards.
 - (2) Establish the need for, the content of, and the intended audience of publications they propose originating.
 - (3) Assure that their proposed public communications publications and those of their contractors or financial assistance recipients are submitted to CP-20 for review, and that required clearances (policy, patent, and classification) are obtained.
 - (4) Designate a communications coordinator for their publications activities to coordinate and work closely with CP-20, MA-40, MA-90, and other appropriate officers.
 - (5) Request publications support services, including graphics, composition, printing, and distribution through appropriate channels: Headquarters through the Office of Administrative Services, field through associated DOE contractors, regional printing procurement offices, and/or MA-7. Headquarters officials, in collaboration with MA-40, may request specialized support services such as editing and marketing from MA-7.

- (6) On a regular basis, recommend to MA-7 appropriate changes, additions, and deletions in the standard distribution lists; assure that the specified number of copies of technical reports and public communications publications are sent to the Technical Information Center, Oak Ridge, Tennessee, for processing and distribution.
 - (7) Coordinate with MA-7 the foreign language translation and subsequent publication of scientific, technical, and engineering information necessary to carry out DOE programs and deposit with MA-7 all foreign language publications received through exchange programs.
 - (8) Submit to CP-20 requests to originate or continue periodicals. If approved, such requests must then be coordinated with MA-40 for submission to the Office of Management and Budget for review.
 - (9) Submit to MA-40 requests to deviate from JCP regulations.
 - (10) Field organization heads review and evaluate the programs in public communications publications in collaboration with CP-20; scientific, technical, and engineering publications with MA-7; and printing activities with MA-40.
- g. Administrator, Energy Information Administration (EI-1), establishes policies, procedures, standards, and guidelines for content, design, documentation, attribution, registry, inventory distribution, and dissemination of data and information which is relevant to energy resource reserves, energy production, demand and technology, and related economic and statistical information in accordance with provisions of law and applicable regulations.

CHAPTER III

PUBLIC COMMUNICATIONS PUBLICATIONS

1. GENERAL. This chapter provides general instructions to manage, coordinate, and provide for the issuance of Departmental public communications publications (see Chapter I, paragraph 14a) for the public; to assure that these publications accurately describe and support Departmental activities and policies; and to assure that such publications are entered in the publications registry and inventory at the Technical Information Center; and that such publications are produced in the most efficient and economical manner.
2. RESPONSIBILITIES AND AUTHORITIES.
 - a. Director of Public Affairs.
 - (1) Manages a comprehensive Departmental public communications publications management program that includes reviewing proposed contracts, grants, and other procurement actions that involve public communications publications and subsequently reviewing products resulting from these actions before printing; assures required reviews; establishes and coordinates distribution plans; approves requests for bulk secondary distribution; and coordinates the inventory of such publications with MA-7.
 - (2) Develops and implements, in collaboration with the requestor, a post-printing/distribution evaluation plan to determine the effectiveness of the publication in meeting publication objectives.
 - (3) Reviews requests for proposed pamphlets, booklets, periodicals, bulletins, and similar public communications publications; and assures that the proposals submitted by originating organizations include the required criteria described on page III-3, paragraph 3a(1).
 - (4) Delegates, as appropriate with the concurrence of CP-1, the authority to review proposed contracts, grants, and similar procurement actions that involve public communications publications to all field organizations.
 - (5) Assures that an annual report of public communications activities is submitted by all Departmental Elements to CP-20 for subsequent submittal to the Office of Management and Budget.
 - (6) Establishes and chairs a publication review board, consisting of not less than five members representing different DOE organizations, to evaluate public communications publications policy and recommend adjustments, and to act as an appeal board for publication decisions that may affect future policy.

- (7) Represents the Department with other Government and non-Government organizations in matters concerning the content, need, and proposed distribution of public communications publications.

b. Assistant Secretary, Management and Administration.

- (1) Through the Director of Procurement and Assistance Management, assures that requests for procurement actions involving the development of public communications publications, including contracts and grants, issued by Headquarters organizations and field operations have been reviewed and approved by CP-20.
- (2) Through the Director of Administrative Services, assures that requests for products of procurement actions involving public communications publications from Headquarters organizations and field operations are reviewed and approved by CP-20 before printing and distribution including contractors, subcontractors, and financial assistance recipients. The field organization contract administrators and printing officers will assure compliance with this review.
- (3) Through the Manager, Technical Information Center, manages and maintains the inventory of publications; operates distribution systems for the dissemination of all publications; manages and maintains the document registry system to provide inventory control, stock accountability, and request fulfillment for public communications publications and publications intended for on-demand distribution; works with CP-20 to provide information to be used in post-publishing evaluations, in the planning of stock requirements based on space available at MA-7, and in determining distribution and warehousing cost data.

c. Heads of Departmental Elements.

- (1) Assure that all public communications publications procurement requests are submitted to CP-20 for review and approval prior to submission to a procuring office and that the procurement request include DOE F 1340.3a, "Public Communications Publications Procurement Proposal," (see Attachment III-1).
- (2) Assure that all products developed by public communications publications proposals are submitted to CP-20 for review before printing or distribution. Note that restrictions established by Title 44 of the Federal Code and the Joint Committee on Printing must be observed.
- (3) Assure that copies of all public communications publications are submitted to MA-7 for registry and inventory control.

3. GUIDELINES.

- a. All public communications publications of the Department, or contractors and grantees, prepared and/or printed with DOE funds will be reviewed by CP-20 in accordance with the following guidelines:
 - (1) Content. Public communications publications will be clearly written for their intended audience. The technical accuracy of the publication will be assured by a responsible reviewer from appropriate program staffs. The review by CP-20 involves, but is not limited to, the following criteria. Each publication should be:
 - (a) Consistent with DOE policy.
 - (b) Essential to the mission of the Department. (Is there a vital need for the information?)
 - (c) Accurate. If it is an older publication, it should not refer to:
 - 1 Persons or organizations that are no longer correct contacts;
 - 2 Programs that are not included in budget planning;
 - 3 Data or statistics that are no longer current; or
 - 4 Bibliographies or references that may not be available or recommended.
 - (d) Substantive and well written, with appropriate illustrations.
 - (e) Free from any suggestion of being self-serving. (Would it affect pending legislation or budget decisions, or be construed as programmatic lobbying?)
 - (f) The sole source of the information and not similar to materials, free or for sale, already available from DOE or other Government agencies and private or community organizations. (Information on GPO-published materials may be obtained from the DOE library, "Monthly Catalog of U.S. Government Publications, Cumulative Index." The library also can provide a computer printout of the National Technical Information Service bibliography on a subject.)
 - (g) Cost effective, it should warrant the cost of being stocked and distributed.
 - (h) Filling a substantial need to respond to public inquiries.

- (2) Format. The publication must adhere to Joint Committee on Printing regulations, particularly on the use of illustrations, multicolor printing, paper stock, and trim sizes. The publication proposal must be accompanied with justification for the use of any item that is not consistent with the regulations.
 - (3) Number of Copies, Distribution, and Registry. Publication proposals must include a discrete and justified initial distribution plan, and anticipate secondary needs. Reprinting within a brief period to replenish stock is costly and must be avoided. Publications must be registered and inventoried at the Technical Information Center.
 - (4) Redundancy. Proposed public communications publications will not duplicate information in existing publications. The proposing office must produce evidence of a review of existing publications.
 - (5) Clearances. Proper clearances, such as legal, policy and evaluation, classification, and patent must be obtained or deemed unnecessary by a proper authority. CP-20 has the authority to overrule clearances deemed unnecessary and assure that such clearances be obtained.
 - (6) Procurement Requests. All procurement requests for contracts or financial assistance awards that involve public communications publications must be reviewed and approved by CP-20 prior to submission to the procuring office for action. This review is accomplished by submitting DOE F 1340.3a, "Public Communications Publications Procurement Proposal," (see Attachment III-1) and the procurement request to CP-20 for review.
 - (7) Initial/Reprint/Revision Requests. All printing proposals must be made on DOE F 1340.3, (see Attachment III-2). The proposal form must be accompanied by a detailed outline or summary, or completed manuscript, and distribution plan. Following initial review of the proposal by CP-20, a second review may be requested before printing to assure that suggested revisions or changes have been made.
- b. Following approval by CP-20, the publication is submitted for printing and primary distribution through appropriate channels: Headquarters through MA-45; field through associated DOE contractors, regional printing procurement offices, and/or MA-7.

PUBLIC COMMUNICATIONS PUBLICATIONS
PROCUREMENT PROPOSAL

DOE F 1340.3a

U.S. Department of Energy
Public Communications Publications Procurement Proposal
(Attach sheets if needed in responding to questions)

1. Identify Project, Including Scope and Proposed Titles (if known) of Publications Involved A series of three (3) one-page factsheets on Nuclear Energy 1. Breeder Reactors 2. Reactor Safety 3. Radiation		
2. Project Officer, Agency Code, Location and Telephone John Doe - (202) 252-5000 NE -007 - Rm. 10 Federal Bldg. Washington, D.C. 20585		3. Estimated Publication Preparation Cost, Including Research, Writing, & Graphics \$900 (\$300 each)
		4. Identify Funding Source NE-007
5. Attach Justification/Need for Publication (if Mandated, Identify Law or Regulation). Identify Potential Audience & Distribution Plan(s) See attachment		7. Storage Location After Initial Distribution Technical Information Center, Oak Ridge, Tenn.
6. If Periodical(s) Involved Attach OMB Circular A-3 Justification, Including Subscription Fee N/A		
8. Identify Similar Publications EIA Factsheets		9. Special Production Considerations, i.e., Multicolor, Special Paper, etc. one-color ink on available stock
10. Estimated Number of Copies 5000 each	11. Estimated Printing/Distribution Costs \$8000 (based on single-copy distribution)	12. Attach Evaluation Plan for Printed Products see attachment
13. Authorization (Type and Signature)		
Assistant Secretary/Equivalent or Designee John D. Adams <i>John D. Adams</i>		Division Director Paul M. Jones <i>Paul M. Jones</i> 8/3/82

Date Received

8/4/82

CP USE ONLY

CP comments: (1) Evaluation plan depends on reader response. Therefore, the publication, when printed, must identify a program office address. A summary of these responses must be subsequently sent to the Editorial Services Branch, PH.
(2) When final drafts are submitted for review prior to printing, a discrete distribution plan must be included.

☒ Approved for Procurement

☐ Approved for Procurement With Changes

☐ Not Approved for Procurement

Reviewed

J. Peter Paul

Date

8/6/82

NOTE: If approved, manuscripts or other products resulting from the procurement action must be submitted to CP-20 for review prior to printing. This review is accomplished by submitting final drafts with Form 1340.3, Printing Requisition Form F-1420.3 and a copy of this form.

Copy Destination: White-CP; Canary-Procurement; Pink-Applicant

REQUEST FOR PUBLIC COMMUNICATIONS PUBLICATION APPROVAL

DOE F 1340.3
(4-82)

U.S. Department of Energy

REQUEST FOR PUBLIC COMMUNICATIONS PUBLICATION APPROVAL

Must be accompanied by Printing Request (Form 1420.3) and, if prepared by contractor,
approved Public Communications Publications Procurement Proposal (Form 1340.3a)

1. Title of Publication Nuclear Powerplants		2. Document No. (Supplied After Approval)	
		3. Date of this Request 8/4/82	
4. Brief Description of Purpose and Contents Describes, in a non-technical way, how electricity is generated by a nuclear powerplant for a general audience, upon request.			
5. Originating Office (Address, Room, Building, and Routing Symbol) NE-007, Rm. 13, Federal Bldg., Wash. DC 20585		6. Person to Contact John Doe	
		7. FTS Telephone Number 8-252-5000	
8. Type of Publication <input type="checkbox"/> New publication <input checked="" type="checkbox"/> Major revision <input type="checkbox"/> Minor revision <input type="checkbox"/> Reprint (without changes)	9. New Publication Supersedes Nuclear Powerplants - DOE/NE-0000	10. Estimated Life of Publication 3 yrs.	
	11. Identify Titles of Similar Government Publication N/A	12. Reprinting Anticipated <input type="checkbox"/> Yes <input checked="" type="checkbox"/> No	
	13. Distribution of Old Inventory <input type="checkbox"/> Do not distribute <input checked="" type="checkbox"/> Continue to distribute	14. Number in stock of old Publication 250	
15. Reviews Required and Obtained by Submitting Office <input checked="" type="checkbox"/> Program Technical Review <input type="checkbox"/> Policy and Evaluation <input type="checkbox"/> Office of General Counsel	16. Production Requirements (Check applicable item(s)) <input type="checkbox"/> Multicolor (Approval MUST be obtained from GPO Liaison Office) <input checked="" type="checkbox"/> Free distribution <input checked="" type="checkbox"/> Sale by NTIS <input checked="" type="checkbox"/> Sale by Superintendent of Documents (List under "Remarks" any publicity given to publication)	17. Estimated Printing Costs (Supplied by GPO Liaison Office) \$10,000	
		18. Source of Funds NE-000	19. Quantity to be Printed 10,000
		20. Trim Size 6 x 9	21. Date Required ASAP
22. Distribution Plan (Use "Remarks" or attach separate sheet) See attachment		23. Prepared by: <input checked="" type="checkbox"/> DOE Employees <input type="checkbox"/> Grantee* <input type="checkbox"/> Contractor* <input type="checkbox"/> Cooperative Agreement* <small>*Provide PADS Number, Organization Name, and Address in "Remarks".</small>	
a. TIC distribution <input type="checkbox"/> No <input checked="" type="checkbox"/> Yes UC 2 <input type="checkbox"/> Other	b. Secondary Special NE mailing list attached		

24. Remarks (Use Additional Sheets if Necessary; Identify Number)

Item #16 - Press Release by NE and CP-3.

☒ Additional sheet(s) attached.

25. Office of Division Director (type and sign) Paul M. Jones <i>[Signature]</i> 8/3/82	26. Assistant Secretary/Equivalent or Designee (type and sign) John D. Adams <i>[Signature]</i> 8-3-82
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27. Date Received

8-4-82

For CP USE ONLY

CP Comment: Please note that a summary of reader response must be supplied to the Editorial Services Branch, PA, as part of the product evaluation plan.

<input checked="" type="checkbox"/> Approved for printing		<input type="checkbox"/> Not approved for printing	
28. Reviewer (type or print name) J. Peter Paul	Date 8/6/82	29. Signature of reviewer <i>[Signature]</i>	Date

Copy Distribution: White, TIC; Blue, CP file; Green, reviewer's file; Canary, MA 4821 or Field printing office; Pink, originating office; Goldenrod, TIC

CHAPTER IV

SCIENTIFIC, TECHNICAL, AND ENGINEERING PUBLICATIONS

1. GENERAL. Information developed as the result of DOE-funded research, development, and demonstration programs shall be reported promptly and fully to MA-7, whether released or not released to others, including reimbursable work done for others at DOE facilities.

MA-7 will develop detailed bibliographic records and abstracts of the information for input into computerized energy-related technical information files. As classification, patent, proprietary data, and other legal and policy considerations permit, the scientific and technical information collected, cataloged, and stored at MA-7 will be announced and made available, through approved channels, to the scientific, technical, engineering, and industrial communities, and to the public. (See Definitions--Chapter I, paragraph 14b.)

2. RESPONSIBILITIES AND AUTHORITIES.

- a. Manager of the Technical Information Center.

- (1) Plans, develops, and administers programs and systems for acquiring (worldwide), publishing, processing, storing, retrieving, announcing, and distributing technical information in support of programs and activities; maintains a central energy-related technical information energy data base and publishes abstract journals.
 - (2) Develops and maintains a system to assure that DOE receives complete scientific, technical, and engineering publications from each task of each procurement action for research, development, and demonstration work being performed with DOE funds.
 - (3) Establishes or approves formats for numbering and other identification schemes to identify scientific, engineering, and technical publications so that they are compatible with other Government/commercial and international reference systems.
 - (4) Assures that scientific and technical publications have appropriate clearances, including patent clearance via onsite patent counsel or the Assistant General Counsel for Patents, prior to being published, announced in DOE abstract journals, or made available to the public.
 - (5) Maintains and, in consultation with the program units concerned, defines subject categories for and approves changes, additions, and deletions to the standard distribution lists (reports TID-4500 and M-3679) for primary distribution of scientific, technical, and engineering publications to authorized recipients; develops or

approves other procedures for distributing scientific, technical, and engineering publications (e.g., in the form of microfiche) as required; and coordinates the public availability of DOE-approved scientific, technical, and engineering publications with the National Technical Information Service.

- (6) Develops and provides specialized technical information services and products (e.g., online literature searches, professional textbook and technology transfer publications, bibliographies, and indexes) to meet programmatic and project needs. All public communications publications must be reviewed by CP-20 (see Chapter III).
- (7) Coordinates the acquisition and distribution of scientific, technical, and engineering data bases, access to, and dissemination services from DOE/RECON.
- (8) Coordinates requests and arranges for direct access by DOE organizations and contractors to both classified and unclassified information and distribution services of the Defense Documentation Center and the National Aeronautics and Space Administration.

b. Director of Administrative Services.

- (1) Provides support services needed for printing scientific, technical, and engineering publications originated by Headquarters organizations or resulting from Headquarters-administered contracts.
- (2) Assures that the specified number of copies of such publications are sent to MA-7 for processing and distribution.
- (3) Approves requests for initial printing or reproduction of scientific, technical, and engineering publications originated by Headquarters organizations.

c. Heads of Departmental Elements.

- (1) Assure that performing organizations under their program management and/or administrative jurisdiction comply with the provisions of this Order, other directives, and applicable laws and regulations regarding the preparation, review, printing, and distribution of scientific, technical, and engineering publications.
- (2) Assure that the minimum scientific, technical, and engineering reporting requirements are called for in each research, development, and demonstration procurement action or task agreement, and all other scientific and technical reports prepared under the action or task are deposited at MA-7 (see Attachment IV-3).

Vertical line denotes change.

- (3) Encourage the preparation of documents which bring new or better information, theories, or advances to the appropriate audiences as quickly and concisely as possible.
- (4) Assure the accuracy, credibility, compatibility, and timeliness of scientific, technical, and engineering publications prepared by performing organizations under their program management and/or administrative jurisdiction.
- (5) Determine announcement and distribution limitations to be placed on scientific, technical, and engineering publications, and inform MA-7 of such determination. Assure that the specified number of copies is sent to MA-7 for processing and distribution.
- (6) Recommend changes, additions, and deletions to be made in the standard distribution lists (reports TID-4500 and M-3679), and provide and approve special distribution practices when required. Notify MA-7 promptly when performing organizations are to be added or deleted from standard distribution because of contractual action.
- (7) Coordinate with MA-7 the foreign language translation and subsequent publication of scientific, technical, and engineering information necessary to carry out programs; and deposit with MA-7 all foreign language publications received through exchange programs.

3. GUIDELINES. The following are procedural requirements applicable to all scientific, technical, and engineering publications produced with DOE funds or at DOE facilities.

- a. All scientific, technical, and engineering publications shall be sent to MA-7 including a properly prepared DOE Form RA-426, "DOE and Major Contractor Recommendations for Announcement and Distribution of Documents," or DOE Form RA-427, "University Contractor, Grantee and Cooperative Agreement Recommendations for Announcement and Distribution of Documents," (see Attachments IV-1 and IV-2). Conference papers shall be sent to MA-7 in advance of meetings when feasible. Open literature articles shall be sent to MA-7 as reprints. When the publication cannot be reproduced or sufficient copies obtained, a legible reproducible master shall be sent to MA-7 for processing, as appropriate.
- b. Scientific, technical, and engineering publications to be distributed outside the originating organization shall be sent to MA-7. (In this

Vertical line denotes change.

context, a transmittal of a scientific, technical, or engineering publication to the sponsoring Headquarters organization, to the organization administering the contract, or to the performing organization's subcontractors or consultants working on the project is considered to be internal distribution.)

- c. Classified documents as defined in the category definition of M-3679, generated by organizations or contractors, are to be made available to MA-7 for processing and controlled distribution.
- d. Information developed in research, development, and demonstration work is to be reported promptly and fully, and originating organizations shall assure that at least the minimum reporting requirements outlined in Form DOE 537, "Reporting Requirements Checklist," (Attachment IV-3), are forwarded to MA-7 for each research, development, and demonstration task supported under their program management and/or administrative jurisdiction.
- e. Two copies of engineering drawings identified on DOE Form 537, or considered by the originator to have potential value to others, shall be forwarded to MA-7 in aperture card form.
- f. Scientific, technical, and engineering publications not previously sent to MA-7 under the provisions of paragraphs 3a, b, or c shall be sent if specifically requested by MA-7.

DOE AND MAJOR CONTRACTOR RECOMMENDATIONS
FOR ANNOUNCEMENT AND DISTRIBUTION OF DOCUMENTS

DOE Form RA-426
(10/80)

U.S. DEPARTMENT OF ENERGY

OMB NO. 038-R0190

DOE AND MAJOR CONTRACTOR RECOMMENDATIONS FOR
ANNOUNCEMENT AND DISTRIBUTION OF DOCUMENTS

See Instructions on Reverse Side

1. DOE Report No. DOE/FE/01834-13	2. Contract No. AC01-80 TS 99999	3. Subject Category No. UC-59a
--------------------------------------	-------------------------------------	-----------------------------------

4. Title
Total Energy Application Analysis

5. Type of Document ("x" one)
☒ a. Scientific and technical report
☐ b. Conference paper: Title of conference _____
Date of conference _____
Exact location of conference _____ Sponsoring organization _____
☐ c. Other (specify planning, educational, impact, market, social, economic, thesis, translations, journal article manuscript, etc.) _____

6. Copies Transmitted ("x" one or more)
☒ a. Copies being transmitted for standard distribution by DOE-TIC.
☐ b. Copies being transmitted for special distribution per attached complete address list.
☐ c. Two completely legible, reproducible copies being transmitted to DOE-TIC. (Classified documents, see instructions)
☐ d. Twenty-seven copies being transmitted to DOE-TIC for TIC processing and NTIS sales.

7. Recommended Distribution ("x" one)
☒ a. Normal handling (after patent clearance): no restraints on distribution except as may be required by the security classification
Make available only ☐ b. To U.S. Government agencies and their contractors. ☐ c. within DOE and to DOE contractors.
☐ d. within DOE. ☐ e. to those listed in Item 13 below.
☐ f. Other (Specify) _____

8. Recommended Announcement ("x" one)
☒ a. Normal procedure may be followed. ☐ b. Recommend the following announcement limitations: _____

9. Reason for Restrictions Recommended in 7 or 8 above.
☐ a. Preliminary information. ☐ b. Prepared primarily for internal use. ☐ c. Other (Explain) _____

10. Patent, Copyright and Proprietary Information
Does this information product disclose any new equipment, process or material? ☒ No ☐ Yes If so, identify page nos. _____
Has an invention disclosure been submitted to DOE covering any aspect of this information product? ☒ No ☐ Yes
If so, identify the DOE (or other) disclosure number and to whom the disclosure was submitted. _____
Are there any patent-related objections to the release of this information product? ☒ No ☐ Yes If so, state these objections _____
Does this information product contain copyrighted material? ☒ No ☐ Yes
If so, identify the page number _____ and attach the license or other authority for the government to reproduce.
Does this information product contain proprietary information? ☒ No ☐ Yes If so, identify the page numbers _____
("x" one ☐ a. DOE patent clearance has been granted by responsible DOE patent group.
☒ b. Document has been sent to responsible DOE patent group for clearance.

11. National Security Information (For classified document only; "x" one)
Document ☐ a. does ☐ b. does not contain national security information

12. Copy Reproduction and Distribution
Total number of copies reproduced 350 Number of copies distributed outside originating organization None

13. Additional Information or Remarks (Continue on separate sheet, if necessary)

14. Submitted by (Name and Position) (Please print or type)
Derrick D. Dondas, President
Organization
Rio Grande Valley Cooperative, Inc.

Signature Derrick D. Dondas	Date June 10, 1982
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THIS REPORT IS REQUIRED IN ACCORDANCE WITH 42 USC 7754 AND 40 USC 471 ET SEQ. FAILURE TO REPORT MAY RESULT IN CONTRACT TERMINATION OR PENALTIES AS PROVIDED BY LAW

INSTRUCTIONS

SEE DOE CR-0001.3 FOR PROVISIONS CONCERNING CONFIDENTIALITY OF INFORMATION

Who uses this form: All DOE and DOE contractors except those contractors and grantees specifically instructed by their DOE contract administrator to use the shorter Form RA-427.

When to use: Submit one copy of this form with each document that is sent to the DOE Technical Information Center (TIC) in accordance with the requirements of DOE Order 1340.1.

Where to send: Forward this form and the document(s) to:

USDOE-TIC
P.O. Box 62
Oak Ridge, TN 37830

Item instructions:

Item 1. The DOE report number will be constructed as follows:
(a) Major DOE Laboratories and contractors that have been assigned TIC-approved codes will use their approved system, e.g., BNL, BMI, PNL. Sequential numbers will be assigned to each report by the originating laboratory or contractor.

(b) Contractors that do not have TIC-approved identifying codes will create their unique numbers by (1) identifying the report with code DOE, (2) selecting the basic seven characters (two alphabetic and five numeric) for the applicable contract number, and (3) adding sequential numbers for each report generated under the contract. Slash marks and hyphens should be applied as shown in the examples below.

Reports issued in more than one binding or reissued as revisions or later editions will be identified by adding the additional suffixes to the basic number, e.g., Rev., Revision; Vol., Volume; Pt., Part; Add., Addendum; Ed., Edition.

Examples:

Major laboratories and contractors with approved codes
BNL-1874

Contractors without approved codes
For Contract DE-AC01-78RA01834.M002
DOE/RA/01834-1
DOE/RA/01834-2
DOE/RA/01834-2 Rev. 1

(The modification number, if any, normally shown as .M002, etc., following the basic five-digit number, is not used in the report number.)

Item 2. Self-explanatory.

Item 3. Insert the appropriate subject category from DOE/TIC-4500 ("Standard Distribution for Unclassified Scientific and Technical Reports") or M-3679 ("Standard Distribution for Classified Scientific and Technical Reports") for both classified and unclassified documents, whether or not printed for standard distribution.

Item 4. Give title exactly as on the document itself unless title is classified. In that case, omit title and state "classified title" in the space for item 4.

Item 5. Self explanatory.

Item 6. a. if box a is checked, the number of copies specified for the appropriate category or categories in M-3679 or DOE/TIC-4500 will be forwarded to TIC for distribution.

b. If box b is checked, a complete address list must be provided TIC.

c. If box c is checked, at least one copy will be original ribbon or offset and be completely legible. A clear carbon copy is acceptable as a second reproducible copy. Classified documents, send one copy except where special distribution requires more copies.

d. If box d is checked, 27 copies will be forwarded to TIC, 2 will be retained for processing and 25 will be sent to NTIS for public availability.

Item 7. If box a is checked for an unclassified document, it may be distributed by TIC (after patent clearance) to addressees listed in DOE/TIC-4500 for the appropriate subject category, to libraries in the U.S. and abroad which through purchase of microfiche maintain collections of DOE reports, and to the National Technical Information Service for sale to the public.

If box a is checked for a classified document, it may be distributed by TIC to addressees listed in M-3679 for the appropriate subject category.

If a box other than a is checked, the recommended limitation will be followed unless TIC receives other instructions from the responsible DOE program division.

Box f may be checked in order to specify special instructions, such as "Make available only as specifically approved by the program division."

Item 8. a. Announcement procedures are normally determined by the distribution that is to be given a document. If box a in item 7 is checked for an unclassified document, it will normally be listed in the weekly "Accessions of Unlimited Distribution Reports by TIC" (DOE/TIC-4401) and may be abstracted in *Energy Research Abstracts (ERA)*.

A classified document, or an unclassified document for which box b, c, d, e, or f in item 7 is checked, may be cited with appropriate subject index terms in *Abstracts of Limited Distribution Reports (ALDR)*.

b. If the normal announcement procedures described in 8a are not appropriate, check 8b and indicate recommended announcement limitations.

Item 9. Self-explanatory.

Item 10. It is assumed that there is no objection to publication from the standpoint of the originating organization's patent interest. Otherwise explain in item 13.

Item 11. If box a is checked, the document cannot be made available to Access Permit holders (Code of Federal Regulation 10 CFR, Part 26, subpart 26.6), if box b is checked, TIC will determine whether or not to make it available to them.

Item 12. Self-explanatory.

Item 13. Self-explanatory.

Item 14. Enter name of person to whom inquiries concerning the recommendations on this form may be addressed.

UNIVERSITY CONTRACTOR, GRANTEE AND COOPERATIVE
AGREEMENT RECOMMENDATIONS FOR ANNOUNCEMENT
AND DISTRIBUTION OF DOCUMENTS

DOE Form RA-427
(10/80)

U.S. DEPARTMENT OF ENERGY

OMB NO. 038-R0190

UNIVERSITY CONTRACTOR, GRANTEE AND COOPERATIVE AGREEMENT
RECOMMENDATIONS FOR ANNOUNCEMENT AND DISTRIBUTION OF DOCUMENTS

See Instructions on Reverse Side

1. DOE Report No. <u>DOE/CE/4567</u>	3. Title <u>Noise Suppression Using Advanced Airfoil Design in High Tip Speed Wind Driven Generators</u>
2. Contract No. <u>EG-01-00CE4567</u>	
4. Type of Document ("X" one) <input checked="" type="checkbox"/> a. Scientific and technical report <input type="checkbox"/> b. Conference paper: Title of conference _____ Date of conference _____ Exact location of conference _____ Sponsoring organization _____ <input type="checkbox"/> c. Other (Specify planning, educational, impact, market, social, economic, thesis, translations, journal article manuscript, etc.) _____	
5. Recommended Announcement and Distribution ("X" one) <input checked="" type="checkbox"/> a. DOE's normal announcement and distribution procedures may be followed. <input type="checkbox"/> b. Make available only within DOE and to DOE contractors and other U.S. Government agencies and their contractors.	
6. Reason for Recommended Restrictions _____	
7. Patent and Copyright Information Does this information product disclose any new equipment, process or material? <input type="checkbox"/> No <input checked="" type="checkbox"/> Yes If so, identify page nos. <u>27</u> Has an invention disclosure been submitted to DOE covering any aspect of this information product? <input checked="" type="checkbox"/> No <input type="checkbox"/> Yes If so, identify the DOE (or other) disclosure number and to whom the disclosure was submitted. Are there any patent-related objections to the release of this information product? <input checked="" type="checkbox"/> No <input type="checkbox"/> Yes If so, state these objections. Does this information product contain copyrighted material? <input checked="" type="checkbox"/> No <input type="checkbox"/> Yes If so, identify the page numbers _____ and attach the license or other authority for the government to reproduce	
8. Submitted by <u>Adams, Charles W.</u> Organization <u>Pierce State University, Department of Physics</u>	Name and Position (Please print or type) _____ Date <u>6-10-82</u>

FOR DOE OR OTHER AUTHORIZED
USE ONLY

9. Patent Clearance ("X" one)
☐ a. DOE patent clearance has been granted by responsible DOE patent group.
☐ b. Report has been sent to responsible DOE patent group for clearance.

THIS REPORT IS REQUIRED IN ACCORDANCE WITH 42 U.S.C. 7254 AND 40 U.S.C. 471. **IT IS** FAILURE TO REPORT MAY RESULT IN CONTRACT TERMINATION OR PENALTIES AS PROVIDED BY LAW

INSTRUCTIONS

SEE DOE-CR-000173 FOR PROVISIONS CONCERNING CONFIDENTIALITY OF INFORMATION

Who uses this form: DOE contract administrators will designate the DOE contractors and grantees who are to use this form. Generally speaking, it will be used by educational institutions and other "not for profit" institutions. DOE national laboratories and other major contractors will generally use the longer Form RA-426.

When to use: DOE contractors are required under their contracts to transmit specified types of documents to the DOE. Some, but not all, of these are transmitted by DOE contract administrators to the DOE Technical Information Center (TIC) and may be incorporated into the DOE technical information documentation system. Types of documents that will be transmitted to TIC are identified in instructions that the contractor receives from his contract administrator. Each such document is to be accompanied by one copy of this transmittal form recommending to TIC appropriate announcement and distribution of the document. Documents which the contractor may be required to submit to the DOE under his contract but which are not of the type to be transmitted to TIC, e.g., contract proposals, should not be accompanied by a copy of this transmittal form.

Where to send: Send the document and the attached Form RA-427 to the DOE contract administrator for transmittal to TIC unless the DOE contract administrator specifies otherwise.

Item instructions:

- Item 1. The DOE report number will be constructed as follows and will consist of a prefix and a suffix. The prefix will consist of code DOE and seven characters for the applicable contract number (two alphabetic and five numeric). The suffix is a sequential number assigned by the contractor generating the report. Slashes and hyphens will be used as shown in the examples in the next column.

Reports issued in more than one binding or reissued as revisions on later editions will be identified by adding the additional suffixes to the basic number: e.g., Rev., Revision; Vol., Volume; Pt., Part; Add., Addendum; Ed., Edition.

Examples

If the contract number is DE-AC01-78RA01834 M002, the reports generated will be numbered

DOE/RA/01834-1

DOE/RA/01834-2

DOE/RA/01834-2 Rev. 1

(The modification number, if any, normally shown as .M002, etc., following the basic five-digit number, is not used in the report number.)

- Item 2. Self-explanatory.
- Item 3. Give title exactly as on the document itself.
- Item 4. Self-explanatory.
- Item 5. The "normal announcement and distribution procedures" for unclassified documents may include abstracting in *Energy Research Abstracts (ERA)* and distribution to appropriate DOE/TIC-4500 ("Standard Distribution of Unclassified Scientific and Technical Reports") addressees, to libraries that through purchase of microfiche maintain collections of DOE reports, and to the National Technical Information Service (NTIS) for sale to the public. Check 5b if there is need for limiting announcement and distribution procedures described above.
- Item 6. Self-explanatory.
- Item 7. Self-explanatory.
- Item 8. Enter name of person to whom inquiries concerning the recommendations on this form may be addressed
- Item 9. DOE contract administrator or patent group representative should check a or b and forward this form and document to:
USDOE-TIC
P.O. Box 62
Oak Ridge, TN 37830

REPORTING REQUIREMENTS CHECKLIST

U.S. DEPARTMENT OF ENERGY

REPORTING REQUIREMENTS CHECKLIST

FORM DOE 537
(Revised 10/80)

(See Instructions on Reverse)

FORM APPROVED
OMB NO. 354-0190

1. IDENTIFICATION: Energistic Pilot Plant		2. OBLIGATION INSTRUMENT: AC01-80TS 99999		
3. REPORTING REQUIREMENTS:				
A. PROJECT MANAGEMENT: 1. <input checked="" type="checkbox"/> Management Plan 2. <input checked="" type="checkbox"/> Milestone Schedule & Status Report 3. <input checked="" type="checkbox"/> Cost Plan 4. <input checked="" type="checkbox"/> Manpower Plan 5. <input type="checkbox"/> Contract Management Summary Report 6. <input checked="" type="checkbox"/> Project Status Report 7. <input checked="" type="checkbox"/> Cost Management Report 8. <input checked="" type="checkbox"/> Manpower Management Report 9. <input checked="" type="checkbox"/> Conference Record 10. <input type="checkbox"/> Hot Line Report		Frequency XO XOCQ XOYC XOYC Q Q Q A	B. TECHNICAL INFORMATION REPORTING: 1. <input checked="" type="checkbox"/> Notice of Energy RD&D Project 2. <input checked="" type="checkbox"/> Technical Progress Report 3. <input checked="" type="checkbox"/> Topical Report 4. <input checked="" type="checkbox"/> Final Technical Report C. COST/SCHEDULE CONTROL SYSTEM CRITERIA REPORTING: 1. <input type="checkbox"/> Management Control System Description 2. <input type="checkbox"/> WBS Dictionary A. <input type="checkbox"/> Index B. <input type="checkbox"/> Element Definition 3. <input type="checkbox"/> Cost Performance Reports A. <input type="checkbox"/> Format 1 - WBS B. <input type="checkbox"/> Format 2 - Functional C. <input type="checkbox"/> Format 3 - Baseline	Frequency OYC Q A F
FREQUENCY CODES: A- As Required C- Contract Change F- Final (End of Contract) M- Monthly O- One Time (After Contract Award) Q- Quarterly S- Semi-annually X- Mandatory for Delivery with Proposal Bid Y- Yearly or Upon Contract Renewal				
4. SPECIAL INSTRUCTIONS: a. Cost plans and cost management reports are to be prepared at the summary and detailed levels. b. Manpower plans and manpower management reports are to be prepared at the summary, detailed and labor category levels. c. Schedule for delivery of selected reports is as specified in the UCRS guidelines. d. DOE shall have 45 days to review and comment on any draft technical report. e. DOE shall review and approve within 10 days any journal article or conference paper prior to publication or presentation. f. All technical reports, conference papers or journal articles must receive patent clearance prior to publication or presentation.				
5. ATTACHED HERewith: <input type="checkbox"/> Report Distribution List <input type="checkbox"/> WBS/Reporting Category <input type="checkbox"/>				
6. PREPARED BY (Signature and date): <i>M. R. Jansons</i> June 10, 1982		7. REVIEWED BY (Signature and date): <i>Rachel Murphy</i> June 12, 1982		

REPORTING REQUIREMENTS CHECKLIST

PURPOSE

A checklist to identify and communicate additional reporting requirements which are not otherwise set forth in the General Purpose clauses of DOE contracts and agreements. It will be included as part of the contract or agreement. This form will be completed for each proposed contract or agreement and can be modified as required in Special Instructions to adapt it to a specific situation.

INSTRUCTIONS

Item 1 - Enter the title as indicated in the Procurement Request, Interagency Agreement, or initiating memorandum.

Item 2 - Enter the identification number of the Procurement Request or Interagency Agreement, the date of the memorandum, and contract number after award.

Item 3 - Check spaces to indicate plans and reports required. For each reporting requirement checked, indicate frequency of delivery in column provided using one of the frequency codes shown.

3.A.1 Management Plan - The contractor's plan to manage the effort described in the statement of work or similar document. It will contain management methodologies, control systems, and procedures he will use. Includes milestones and other planning schedules, organizational identification and descriptions, and special and critical plans, such as test plans, plans for handling of Government owned property. Work breakdown structures, key personnel identification, and methods for monitoring progress toward objectives may be required.

3.A.2 Milestone Schedule and Status Report - The contractor's milestone schedule for all work breakdown structure items, line items, or deliverables specified in the contract. Updated periodically (usually monthly) with status, progress toward completion, and percent completion of each line item and of the total contract.

3.A.3 Cost Plan - A baseline plan for incurring costs on a contract or agreement to measure progress in terms of cost; update and forecast contract fund requirements; plan funding changes, and develop fund requirements and budget estimates.

3.A.4 Manpower Plan - A baseline plan to allocate manpower to each reporting category identified in the contract or agreement.

3.A.5 Contract Management Summary Report - A single-page graphic presentation of integrated cost, major milestones, and manpower for rapid visual analysis and trend forecasting.

3.A.6 Project Status Report - A periodic report to communicate to DOE management an assessment of contract status, to explain variances and problems, and to discuss any other areas of concern or achievements.

3.A.7 Cost Management Report - A periodic report of the status of costs compared to the Cost Plan. Data is used to report actual and projected accrued costs, evaluate performance against plan; identify actual and potential problem areas; construct cost experience for projects and budgeting efforts; and, to verify the reasonableness of contractors' invoices.

3.A.8 Manpower Management Report - A periodic report of the status of actual and projected manpower expenditure against the Manpower Plan. Data is used to evaluate performance against plan; identify actual and potential problem areas; and to construct manpower experience for projections and planning efforts.

3.A.9 Conference Record - Documentation of the contractor's understanding of significant decisions, direction or redirection or required actions resulting from any meeting with DOE representatives.

3.A.10 Hot Line Report - A hardcopy report by the fastest means available, (TWX, etc) documenting critical problems, emergency situations, and important technical breakthroughs.

3.B.1 Notice of Energy R&D Project - A formatted, two-page report to provide information on unclassified DOE R&D projects for dissemination to the scientific, technical, and industrial communities and to the public. Also provides information to the Smithsonian Scientific Information Exchange.

3.B.2 Technical Progress Report - A formal, structured technical report, submitted periodically to communicate project results for dissemination to Government agencies, the scientific, technical and industrial communities and the public.

3.B.3 Topical Report - A special technical report prepared when a project has reached a point at which a major milestone or a significant phase has been completed, when unexpected results have been achieved, when it is logical to summarize results achieved, or when a new scientific or technological finding is deemed to warrant prompt publication.

3.B.4 Final Technical Report - Technical Progress Report reporting final results of DOE supported R&D and scientific projects.

3.C CSCSC

1) System Description - Contractor's description of the management control system to be used in performing contract work.

2) WBS Dictionary - Lists and defines work breakdown structure. For more detailed instructions see CSCSC Manual.

3) Cost Performance Report (PMS Application)

Format 1 - Reports current period and cumulative budget, actual costs and earned value data by work breakdown structure elements. Identifies cost and schedule variances and provides contractor's estimate to complete comparisons to budgets.

Format 2 - Reports current period and cumulative budget, actual costs, and earned value data by contractor functional elements.

Format 3 - Provides periodic updating to the established performance measurement baseline. Incorporates authorized contract changes and internal re-planning into the performance measurement baseline.

Frequency Codes - Each code must have an identified time period (i.e., As Required - 5 days after event occurrence). These time periods are suggested in the solicitation and negotiated at contract award.

Item 4 - Identify any special reporting requirements not indicated in Item 3 and/or qualifiers to those selected. (Use additional sheets as necessary.)

Item 5 - Check appropriate blocks.

Report Distribution List - A comprehensive informative listing of reports by frequency of submission, addresses and number of copies for each addressee.

Reporting Categories (level of detail) - An identification by WBS level of task elements for which reporting will be required by DOE.

Item 6 - Signature of person or persons preparing the checklist and the date prepared. Preparation is by person or persons responsible for preparation of Procurement Request or Statement of Work.

Item 7 - Signature of the person reviewing the checklist and date reviewed.

CHAPTER V

DESIGN

1. GENERAL. Design and graphics services shall effectively support publication activities. This chapter covers the guidelines and procedures for planning, designing, producing, and/or obtaining graphic and design services for DOE publications. Inclusive in design and graphic services are illustration, design, drafting, photography, mapping, and any other type of communication art product used or produced in part or in total for inclusion in a publication. Printed media include all publications, brochures, posters, maps, flyers, reports, and any type of publication printed with Government funds.
2. RESPONSIBILITIES AND AUTHORITIES.
 - a. Assistant Secretary, Management and Administration.
 - (1) Develops and/or approves design and graphics for public communications publications following approval by CP-20 to assure that they are consistent with this Order.
 - (2) Through the Director of Administrative Services:
 - (a) Develops policies, procedures, standards, and guidelines for DOE-wide design and graphic services.
 - (b) Plans, develops, and coordinates design and graphics products to support Headquarters and field organizations; operates Headquarters facilities, e.g., photography, design and graphics mapping and drafting, and computer graphics.
 - (c) Represents DOE with the National Endowment for the Arts, Federal Design Improvement Program, on design and related matters, including submission of required reports.
 - (d) Represents DOE with the General Services Administration on establishment and coordination of graphic and photographic basic ordering agreements, including consolidation and submission of required reports.
 - (e) Represents DOE with the U.S. Geological Survey for coordination and production of DOE cartographic requirements; submits periodic reports on DOE basic mapping activities in accordance with OMB Circular A-16; and requests service, concurrence, or guidance for Headquarters major mapping programs.
 - (f) Develops symbols, design devices, and logos produced as identifiers for DOE publications; develops guidelines for new symbols to assure consistency with the DOE-wide design program.

- (g) Reviews, periodically, the efficiency and effectiveness of selected publication projects produced or initiated by DOE and its contractors to assure a consistent and quality visual image for DOE and adherence to policy and guidelines established in this chapter.

b. Heads of Headquarters Organizations.

- (1) Submit proposed Headquarters-originated design and graphics projects to MA-40 for processing.
- (2) Assure, to the extent possible, that requests for services allow adequate leadtime for quality results at minimum cost.

3. STANDARDS AND GUIDELINES. Usage of the DOE seal must be in accordance with DOE 1000.2, DEPARTMENT SEAL AND FLAG. No revision or changes to the DOE seal are authorized unless approved by MA-1.

CHAPTER VI

PRINTING AND RELATED ACTIVITIES

1. GENERAL. This chapter provides general guidance and instructions for complying with Title 44, U.S.C., "Public Printing and Documents," and the "Government Printing and Binding Regulations" in the production and procurement of printing and duplicating services. It also includes guidance for the acquisition of word processing/text editing, composition, copying, duplicating, and printing equipment.
2. RESPONSIBILITIES AND AUTHORITIES.
 - a. Director of Administrative Services.
 - (1) Develops DOE-wide policies, procedures, standards, and guidelines for the acquisition of word processing/text editing, composition, copying, duplicating, and printing equipment, and for the production and procurement of these services.
 - (2) Provides staff advice and assistance on a DOE-wide basis regarding the interpretation and applicability of policies, procedures, standards, and guidelines for word processing/text editing, composition, copying, duplicating, and printing services.
 - (3) Approves, or processes for Joint Committee on Printing approval, requests relating to:
 - (a) Establishment or disestablishment of printing and duplicating plants.
 - (b) Acquisition, transfers, or disposal of composition, printing, duplicating, binding, and auxiliary equipment (column 1 and 2 equipment).
 - (c) Deviations from restrictions.
 - (4) Represents DOE with the Joint Committee on Printing and the GPO on printing and related activities, including review and submission of reports required of DOE.
 - (5) Represents DOE with the General Services Administration on word processing activities.
 - (6) Reviews and processes requests to print periodicals, in coordination with Assistant Secretary for Congressional, Intergovernmental, and Public Affairs.

- (7) Provides graphics, composition, duplicating, and printing services to support Headquarters organizations.
 - (8) Provides staff advice and assistance regarding distribution patterns for Headquarters printing, maintains or acquires all major distribution lists utilized by Headquarters, and assures that copies of unclassified DOE publications printed at Headquarters are forwarded to MA-7, the Library of Congress, and depository libraries through the facilities of the GPO.
 - (9) Maintains usage information and inventory on all Headquarters word processing/text editing and copying equipment.
- b. Director of Procurement and Assistance Management. Assures that all contracts issued comply with the provisions of this Order governing the acquisition and/or production of printing, duplicating, word processing services, and equipment.
- c. Director of Organization and Management Systems. Determines requirements for DOE forms (other than public use forms) and approves requisitions, copy, specifications, and distribution patterns to MA-40 for processing.
- d. Heads of Headquarters Organizations.
- (1) Assure that all Headquarters-originated graphics, duplicating, and printing requirements are submitted to MA-40 for processing in accordance with the provisions of this Order.
 - (2) Submit requests to MA-40 for the acquisition of word processing/text editing systems with supporting workload justification.
- e. Heads of Field Organizations.
- (1) Assure that organizations and contractors under their jurisdiction comply with this Order and that they are provided copies of the Government Printing and Binding Regulations.
 - (2) Procure or provide composition, duplicating, copying, printing, and related services inhouse or through GPO regional printing procurement offices to meet program requirements. Printing may be performed in a DOE-authorized printing plant in accordance with Joint Committee on Printing guidance and regulations. Attachment VI-1 contains names and the locations of all DOE-authorized printing plants.
 - (3) Establish procedures and conduct periodic reviews to assure compliance with the provisions of this Order.
 - (4) Submit requests to MA-40 for:
 - (a) Establishment or disestablishment of printing and duplicating plants.

- (b) Acquisition, transfer, or disposal of composition, printing, duplicating, binding, and auxiliary equipment as defined in the Joint Committee on Printing Regulations. This includes word processing/text editing systems which are coupled with photocomposition devices.
- (c) Deviations from the Joint Committee on Printing restrictions.
- (d) Strike-on composition equipment regardless of cost.
- (5) Designate a DOE or contractor official to determine and certify, prior to printing individual jobs, that the use of:
 - (a) More than one color of ink fulfills a specific functional need.
 - (b) Illustrations are functional and related entirely to the transaction of the public business.
- (6) Manage the acquisition of word processing/text editing equipment to assure compliance with the provision of this Order.

3. COPYRIGHT RESTRICTIONS.

- a. Under the Copyright Laws (Title 17, U.S.C.) copyright owners are given certain exclusive rights in their works. Among these are the rights of reproduction. Infringement takes place when this right is violated by reproducing the work in whole or any substantial part. Certain reproductions may be excepted from liability by the section of the law dealing with "fair use." Reproduction for purposes of scholarship or research may come under this statutory protection, especially if the use is nonprofit or noncommercial in nature. Any question concerning the reproduction of copyrighted material should be referred to patent counsel.
- b. To assist in prevention of copyright infringement by the Government or its employees, contractors, and others, a notice as set forth below should be posted in a prominent place on reproduction equipment in the possession and control of DOE and its contractors:

NOTICE TO COPYING MACHINE USERS

This machine is to be used solely for making copies of materials for official purposes only. Reproduction at Government expense of materials for personal use is prohibited.

The U.S. Copyright Law (Title 17, U.S.C.) governs the making of photocopies of copyrighted material. The person using this equipment is liable for any infringement. Any questions concerning the reproduction of

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copyrighted material should be referred to patent counsel.

- c. Notwithstanding the exclusive rights of the owners of copyrights, the law provides that under certain conditions it is not an infringement of copyright for a library or archives, or any library or archive employees acting within the scope of their employment, to reproduce or distribute not more than one copy or photorecord of a work, provided:
 - (1) The reproduction or distribution is made without any purpose of direct or indirect commercial advantage.
 - (2) The collections of the library or archives are open to the public or available not only to researchers affiliated with the library or archives, but also to other persons doing research in a specialized field.
 - (3) The reproduction or distribution of the work includes a notice of copyright.
- d. The Copyright Office of the Library of Congress requires a specific notice, as set forth below, be used in order to qualify for the library or archive exception. The notice should be printed on heavy paper and in type at least 18 points in size and should be displayed prominently to any casual observer within the vicinity of the photocopy machine or the place where copy orders are taken:

NOTICE

WARNING CONCERNING COPYRIGHT RESTRICTIONS

The Copyright Law of the United States (Title 17, United States Code) governs the making of photocopies or other reproduction of copyrighted material.

Under certain conditions specified in the law, libraries and archives are authorized to furnish a photocopy or other reproduction. One of these specified conditions is that the photocopy or reproduction is not to be "used for any purpose other than private study, scholarship, or research." If a user makes a request for, or later uses, a photocopy or reproduction for purposes in excess of "fair use," that user may be liable for copyright infringement.

This organization reserves the right to refuse to accept a copying order if, in its judgment, fulfillment of the order would involve violation of copyright law.

- e. Order forms used by the library or archive should contain a notice warning of copyright restrictions. This notice should be printed in a box on the order form and located adjacent to the space calling for the name or signature of the person using the form.

4. PROCEDURES AND GUIDELINES.

a. Printing Obtained Through the Government Printing Office or a Regional Printing Procurement Office.

- (1) When a field organization or a contractor requisitions printing from a Regional Printing Procurement Office it shall be in accordance with the procedures outlined in the GPO "Agency Procedural Handbook for Commercial Procurement of Printing Services." All contractors should indicate on the requisition that the work is being performed for the U.S. Department of Energy, as well as their own identification. Each requisition must carry a complete billing address. The locations and telephone numbers of the regional printing procurement office are contained in Attachment VI-2.
- (2) Term contracts may be requested from the GPO or regional printing procurement office by Headquarters, field organizations, and contractors by submitting a Standard Form 1 when: (a) categories of work fall outside the specifications of the GPO/regional printing procurement office general purpose contracts, and/or (b) geographical location of a DOE organization creates delays in obtaining satisfactory delivery. The GPO and regional printing procurement office should be requested to arrange for pickup and delivery at the originator's site, or limit bidders to an appropriate geographical area and provide for direct contact between the printer and the requesting office. All billing and contract amendments must be made through the GPO and regional printing procurement office which serve as the contracting office.

b. Printing Equipment Acquisitions and Disposals.

(1) Acquisitions.

- (a) Requests for acquisition of electronic and strike-on composition printing, duplicating, binding, and auxiliary equipment, with justification, shall be forwarded to MA-40 for approval and/or coordination with Joint Committee on Printing. The justification shall contain the make, model, and cost of the proposed equipment, if applicable; the make, model, condition, serial number, age, estimated cost, or value of equipment to be replaced; a detailed summary of all work to be performed, benefits to be derived, and explanation for rejection of the alternatives. If the request is for replacement equipment, give planned disposition of existing equipment.

- 1 Strike-on composition equipment for the purpose of this directive includes, but is not limited to, AM Varityper and IBM Selectric Composer regardless of cost.
 - 2 Electrostatic copying equipment requiring MA-40 approval prior to acquisition includes, but is not limited to, Xerox 9200, Xerox 9400, Kodak 100AF, Kodak 150AF, and IBM Copier III units when used in duplicating facilities.
- (b) All requests must contain a summary of discussions and/or correspondence with the appropriate regional printing procurement office on the feasibility of commercial procurement for those items to be produced on the proposed equipment.
- (2) Disposals. Disposal of composition, printing, binding, duplicating, and auxiliary equipment shall be accomplished in accordance with the provisions of the DOE property management regulations. In addition, for all columns 1 and 2 equipment which is removed from a printing plant, a Joint Committee on Printing Form No. 7, "Excess Equipment" must be submitted to MA-40 for coordination with the Joint Committee on Printing. Exception: if the column 1 equipment is needed at another site, that office shall submit a request for transfer with justification to MA-40 for coordination with the Joint Committee on Printing. If the transfer is approved, no Joint Committee on Printing report is required.
- (3) Request for Proposals for Printing Equipment. Approval must be obtained from MA-40 before a field organization or contractor can issue a request for proposal for electronic composition, printing, duplicating, and related equipment.
- (4) Collators. Acquisition of stand-alone power-operated collators for other-than-authorized printing plants shall be reported on Joint Committee on Printing Form No. 3, "Acquisition of Power-operated Collators for Use in Facilities Other Than Printing Plants" to MA-40 for coordination with Joint Committee on Printing. Disposition shall be accomplished in accordance with the provisions of DOE property management regulations.
- (5) Establishment or Disestablishment of Printing Plants. Request for authorization to establish or disestablish a printing plant shall be forwarded to MA-40 for review and submission to the Joint Committee on Printing.
 - (a) For establishment of a new plant, identify:
 - 1 Types and quantity of work to be procured commercially.
 - 2 Types and quantity of work that are not procurable through the GPO/regional printing procurement office and reasons therefor.

3 Existing duplicating and copying equipment showing trade name, model number, serial number, size, condition, age, and estimated present value using Joint Committee on Printing Form No. 5, "Annual Plant Inventory."

4 Additional equipment required, estimated cost, intended use, and benefits.

(b) For disestablishment of an authorized plant, state reasons and provide an inventory of existing printing plant equipment on Joint Committee on Printing Form No. 5, indicate disposition plans for excess equipment and justification for retention of equipment that is not declared excess.

(6) Joint Committee on Printing Reports shall be prepared as outlined in Title IV of the "Government Printing and Binding Regulations." Copies shall be forwarded to MA-40 in time to assure receipt of a minimum of 2 weeks before the Joint Committee on Printing due date.

c. Word Processing Equipment Acquisitions Guidelines.

(1) Headquarters. All requests for the acquisition of word processing/text editing systems shall be forwarded to MA-40 and contain the following information:

- (a) Location and type of word processing/text editing systems currently assigned to requesting office.
- (b) Weekly workload (based on 50-line single-spaced pages), current and projected.
- (c) Current authorized staffing (professional and secretarial).
- (d) Alternative methods considered to meet program requirements.
- (e) Impact on program if requested equipment is not acquired.

(2) Field Organizations.

- (a) A DOE or contractor official should be designated to review all requests for the acquisition of word processing/text editing equipment to assure compliance with the provisions of this Order.
- (b) Requests for the acquisition of word processing/text editing systems should cover the information identified below and be submitted to the designated official responsible for word processing management program.

- 1 Location and type of word processing/text editing systems currently assigned to requesting office.
- 2 The number of lines of original and repetitive typing required in a 2-week period (for this purpose revised lines are counted as original typing lines and repetitive typing is the retyping of a line that remains unchanged).
- 3 Annual costs using standard typewriters.
 - a Labor. Compute time required to type on standard typewriters the total workload identified in subparagraph 2, above, and multiply by 26. Assign annual cost based on current labor rate and actual hours required.
 - b Equipment. Amortize the original cost of the standard typewriter(s) over a 5-year period.
 - c Total Costs. Add the labor and equipment costs to determine total cost using standard typewriter(s).
- 4 Estimated annual costs using the proposed wordprocessing equipment.
 - a Labor. Determine the time to type the original and repetitive typing identified in subparagraph 2, above, on the proposed word processing equipment, and multiply by 26. Assign annual cost based on current labor rate and actual hours required.
 - b Equipment. Amortize the cost of the word processing unit(s) over a 5-year period (lease costs may be used if the equipment is leased).
 - c Total Costs. Add the labor and equipment costs to determine the total cost using word processing equipment.
- 5 If the total annual cost of using word processing equipment is greater than that of standard typewriter(s), the proposed word processing equipment should not be acquired.
- 6 Current authorized staffing (professional and secretarial).
- 7 Lease-versus-purchase analysis (using criteria in subparagraph (c), below).
- 8 Alternative methods considered to meet program requirements.
- 9 Impact on program if requested equipment is not acquired.

10 If the final product is composition, state quantity of finished pages which will be composed.

- (c) A 3-year time frame should be used for evaluating payback period for the acquisition of all new word processing/text editing systems. A 2-year period should be used for the acquisition of used or refurbished equipment.
- (d) Word processing/text editing systems should be centralized where possible.
- (e) Word processing/text editing systems should be reevaluated at least annually to assure utilization complies with the provisions of this Order.
- (f) An inventory of word processing/text editing equipment should be maintained, identifying owned and leased equipment, manufacturer, model, acquisition date, cost, and category.
- (g) The acquisition of communicating word processing/text editing systems must be in accordance with this Order and with DOE 5300.1, TELECOMMUNICATIONS.
- (h) Each field organization and contractor shall submit an annual report on word processing activities to MA-40 by 11-15 for the preceding fiscal year. The report should contain the following:
 - 1 Number of word processing/text editing units at beginning and ending of fiscal year, identifying leased and owned units.
 - 2 Total cost of:
 - a Leased equipment.
 - b Owned equipment (maintenance).
 - c Equipment purchases during reporting period.

d. Copying Equipment Acquisitions Guidelines.

(1) Headquarters.

- (a) Copying equipment shall be centralized, where possible, into copy centers. Requests with justification for decentralized copiers shall be submitted on DOE Form AD-H23, "Request for Copying Equipment," (see Attachment VI-3) to MA-40 for evaluation and appropriate action.

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- (b) Copying requirements which exceed 600 total copies should be referred to the Printing Operations Branch (MA-452) for reproduction.

(2) Field Organizations and Contractors.

- (a) Copying equipment should be centralized into copy centers, where possible, based on program requirements and proximity to the nearest duplicating facility or inhouse printing plant.
- (b) A designated DOE or contractor official should review and approve or disapprove all requests for the acquisition of equipment to assure compliance with the provisions of this Order.
- (c) In the selection of equipment, a comparison of various makes and models of equipment should be considered as well as the use of offset duplicating. See Attachment VI-3 for suggested format for analyzing copying requirements.
- (d) A lease-versus-purchase analysis should be conducted for the acquisition of all copying equipment with the following guidelines:
 - 1 A 3-year time frame should be used in evaluating the payback period for all new equipment.
 - 2 A 2-year time frame should be used for refurbished equipment.
- (e) Reports. Each field organization and contractor shall submit an annual report on copying activities to MA-40 by 11-15 for the preceding fiscal year. The report should contain the following:
 - 1 Number of copiers beginning and ending of fiscal year, identifying number of leased and owned copiers.
 - 2 Total copies reproduced on:
 - a Leased equipment.
 - b Owned equipment
 - 3 Total cost of (labor cost should not be included):
 - a Leased equipment.
 - b Owned equipment (maintenance).
 - 4 Total cost of supplies (i.e., paper, toner, developer).

- 5 Total cost per copy (including supplies) for:
 - a Leased equipment (totals of subparagraphs 3 a and 4 (pro rate) divided by subparagraph 2 a).
 - b Owned equipment (totals of subparagraphs 3 b and 4 (pro rate) divided by subparagraph 2 b).
 - 6 Number and total cost of copiers purchased during the preceding fiscal year.
 - 7 Planned action to reduce copying costs during the next fiscal year.
- e. Field Reviews. Management reviews shall be conducted covering printing and related activities to assure that the procedures and techniques being used are consistent with this Order. These reviews shall be conducted by MA-40 or field organization staffs depending on the scope of review, normally on a 3-year cycle. A report shall be prepared of each review highlighting the major findings and recommendations, if any.

DOE AUTHORIZED PRINTING PLANTS
BY FEDERAL REGIONS

Region 2

1. Schenectady Naval Reactors Office
Knolls Atomic Power Laboratory
Schenectady, NY 12301
2. Associated Universities, Inc.
Brookhaven National Laboratory
Upton, NY 11973
3. Pittsburgh Naval Reactors
Bettis Atomic Power Laboratory
West Mifflin, PA 15122

Region 3

4. Headquarters
U.S. Department of Energy
Forrestal Building
Washington, DC 20585

Region 4

5. Savannah River Operations Office
Aiken, SC 29801
6. Technical Information Center
Oak Ridge, TN 37830
7. Union Carbide Corporation
Nuclear Division, ORGDP (K-25)
Oak Ridge, TN 37830
8. Union Carbide Corporation
Nuclear Division (Y-12)
Oak Ridge, TN 37830

Region 5

9. University of Chicago
Argonne National Laboratory
Argonne, IL 60439
10. Union Carbide Corporation
Nuclear Division
Paducah, KY 42001

11. NLO, Incorporated (formerly
National Lead Company of Ohio)
Cincinnati, OH 45239
12. Monsanto Research Corporation
Mound Laboratory
Miamisburg, OH 45342
13. Goodyear Atomic Corporation
Piketon, OH 45661

Region 6

14. Iowa State University
Ames Laboratory
Ames, IA 50011
15. The Bendix Corporation
Kansas City, MO 64141

Region 8

16. Rockwell International
Atomics International Division
Golden, CO 80401
17. Bendix Field Engineering Corporation
Grand Junction, CO 81502
18. Albuquerque Operations Office
Albuquerque, NM 87115
19. Los Alamos National Laboratory
Los Alamos, NM 87545
20. Sandia National Laboratories
Albuquerque, NM 87115

Region 9

21. University of California
Lawrence Berkeley Laboratory
Berkeley, CA 94720
22. University of California
Lawrence Livermore National Laboratory
Livermore, CA 94550
23. Reynolds Electrical & Engineering Co., Inc.
Mercury, NV 89114

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Attachment VI-1
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Region 10

- 24. EG&G Idaho, Inc.
Idaho Falls, ID 83401
- 25. Bonneville Power Administration
Portland, OR 97208
- 26. Rockwell Hanford Atomic Operation
Richland, WA 99352

REGIONAL PRINTING PROCUREMENT OFFICES

Atlanta Printing Procurement Office
R. B. Russell FOB, Room 788
75 Spring Street, SW
Atlanta, GA 30303

FTS 242-5198
(404)221-5198

Boston Printing Procurement Office
Room 1400
John W. McCormack Post Office and Court House
Post Office Square
Boston, MA 02109

FTS 223-7566
(617)223-7566

Chicago Printing Procurement Office
Room 1051
610 South Canal Street
Chicago, IL 60607

FTS 353-3916
(312)353-3916

Columbus Printing Procurement Office
Room 34, Federal Office Building
200 North High Street
Columbus, OH 43215

FTS 943-6884
(614)469-6884

Dallas Printing Procurement Office
Room 3B7
110 Commerce Street
Dallas, TX 75242

FTS 729-0451
(214)767-0451

Denver Printing Procurement Office
Building 53, Room H-1004
Denver Federal Center
Denver, CO 80225

FTS 234-2139
(303)234-2139

Hampton Printing Procurement Office
Building 720B
Langley Air Force Base, VA 23665

FTS 928-2553
(804)827-2553

Los Angeles Printing Procurement Office
Room 2E26, Federal Office Building
15000 Aviation Boulevard
Lawndale, CA 90261

FTS 966-6650
(213)536-6650

New York Printing Procurement Office
7th Floor
201 Varick Street
New York, NY 10014

FTS 660-3325
(212)620-3321

Philadelphia Printing Procurement Office
Suite 306, 3rd Floor
8001 Roosevelt Boulevard
Philadelphia, PA 19152

FTS 486-5441
(215)951-5441

San Francisco Printing Procurement Office
620 Folsom Street
San Francisco, CA 94107

FTS 454-0847
(415)974-0847

St. Louis Printing Procurement Office
Room 1466
210 North Tucker Boulevard
St. Louis, MO 63101

FTS 279-4371
(314)425-4371

Seattle Printing Procurement Office
4735 East Marginal Way South
Seattle, WA 98134

FTS 399-3726
(206)764-3726

REQUEST FOR COPYING EQUIPMENT

DOE Form AD-H23
(1-78)

DEPARTMENT OF ENERGY REQUEST FOR COPYING EQUIPMENT (Headquarters)

PART I—To Be Completed by Requesting Office

ORGANIZATION Administrative Services		NUMBER OF PEOPLE IN ORGANIZATION 25	DATE 2/4/82
CONTACT John Adams		TELEPHONE NUMBER 252-4444	ROUTING SYMBOL MA-40
LOCATION OF COPIER 6-H-100		PERCENT OF ORIGINALS REQUIRING: <u>50</u> 1 COPY <u>10</u> 2-4 COPIES <u>30</u> 5-10 COPIES <u>10</u> OVER 10 COPIES <small>(Please furnish a distribution pattern for these copies including an explanation why your needs cannot be obtained from Central Reproduction)</small>	PERCENT OF ORIGINALS NEEDED WITHIN: <u>75</u> 1 HOUR <u>5</u> 2 HOURS <u>5</u> 2-4 HOURS <u>15</u> 5-8 HOURS <u> </u> OVER 8 HOURS <small>(1 calendar day)</small>
SPACE <input checked="" type="checkbox"/> AVAILABLE <input type="checkbox"/> NOT AVAILABLE	ESTIMATED NUMBER OF COPIES TO BE MADE MONTHLY 10,000		
PERCENT REQUIRING: <u>50</u> COLLATION <u>25</u> REDUCTION			
DO YOU NOW HAVE A COPIER? <input type="checkbox"/> YES <input type="checkbox"/> NO		WILL THE PROPOSED COPIER BE ACCESSIBLE TO OTHERS? <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO	
NOTE: The requesting office will be responsible for Key Operator functions and submitting monthly meter cards.		PLEASE EXPLAIN BELOW.	

REMARKS

My staff of 25 people will have need of this copier full time.

SIGNATURE AND DATE OF REQUESTING OFFICIAL <i>John Adams</i> 2/4/82	SIGNATURE AND DATE OF OFFICE OR DIVISION DIRECTOR <i>George News</i> 2/4/82
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PART II—To Be Completed by Office of Administrative Services

OTHER COPIERS LOCATED NEARBY:							
MODEL	LOCATION	PERIOD COVERED	AVERAGE MONTHLY:		BENCHMARK	UTILIZED	UNDER-UTILIZED
			VOLUME	COST			

EQUIPMENT CONSIDERED:

MODEL (a)	ESTIMATED MONTHLY		ENERGY EFFICIENCY (See Instructions on Reverse)					
	NO. OF COPIES (b)	COST (c)	WATTS PER HOUR		RATED SPEED (f)	ENERGY CONSUMPTION (KILOWATT HOURS)		
			STANDBY (d)	OPERATING (e)		STANDBY (g)	OPERATING (h)	TOTAL (i)

EQUIPMENT RECOMMENDED	ESTIMATED COST THROUGH FISCAL YEAR:	ELECTRICAL REQUIREMENTS	LOCATION
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REMARKS	RECOMMENDED BY:	DATE:
	APPROVED BY:	DATE:

INSTRUCTIONS FOR PART II, ENERGY EFFICIENCY

(For use of Office of Administrative Services)

To calculate energy consumption for each equipment type:

1. *Divide* column (b) *by* column (f) to obtain estimated operating hours (monthly).
2. Estimated operating hours *times* column (e) *divided by* 1000 *equals* operating kilowatt hours (post in column (h)).
3. 178.5 (21 days *times* 8.5 hours) *less* estimated operating hours *equals* estimated standby hours.
4. Estimated standby hours *times* column (d) *divided by* 1000 *equals* standby kilowatt hours (post in column (g)).
5. Total columns (g) and (h).

CHAPTER VII

RESPONSIBILITIES AND AUTHORITIES, PUBLICATIONS REGISTRY, DISTRIBUTION, AND INVENTORY MANAGEMENT

1. ASSISTANT SECRETARY FOR CONGRESSIONAL, INTERGOVERNMENTAL AND PUBLIC AFFAIRS.
 - a. Assures proper review of public communications publications in accordance with this Order prior to entry in the Document Registry System.
 - b. Develops distribution plans for public communications publications items.
 - c. Reviews and approves all bulk distribution requests for public communications publications items.
 - d. Coordinates with MA-7 requests and approval for reprinting of public communications publications for inventory purposes, verification of current inventory, demands and space to assure sufficient inventory supply as necessary.
2. ASSISTANT SECRETARY, MANAGEMENT AND ADMINISTRATION.
 - a. Establishes and administers policies and procedures for managing the inventory and distribution of publications.
 - b. Through MA-7, maintains and manages a central registry and archive of all publications, except forms, directives, internal announcements, and similar documents.
 - (1) Develops and manages the operation of systems for initial and on-demand distribution of publications.
 - (2) Plans, develops, and operates a system for responding to the information needs of the public, private sectors, and specialized audiences.
 - (3) Provides advice and assistance, in collaboration with CP-20, to Headquarters and field organizations regarding distribution patterns and outlets for public communications publications.
 - (4) Provides inventory and stock control management for all publications except forms, directives, internal announcements, and similar documents.
 - (5) Establishes and approves publication identification numbering systems for scientific, technical and engineering publications;

public communications publications; and other information products under registry and inventory management and control.

- (6) Develops and administers an annual updating system for standard distribution categories that includes verification of address and continuing need for publications.

c. Through the Director of Administrative Services.

- (1) Establishes and maintains the procedures for initial distribution of Headquarters-originated publications.
- (2) Provides information required for the registry, distribution, and inventory systems to MA-7.
- (3) Forwards balance of publications to MA-7 following initial distribution.
- (4) Is responsible for distribution and inventory of Headquarters-originated administrative documents (directives, internal announcements, and similar documents).

3. HEADS OF DEPARTMENTAL ELEMENTS.

- a. Assure that performing organizations under their program management and/or administrative jurisdiction direct publications to proper sources for program support.
 - (1) All proposed public communications publications are reviewed by CP-20 before printing or initial distribution (see Chapter III, paragraph 3).
 - (2) All scientific, technical, and engineering publications are sent to MA-7 for initial and secondary distribution. (MA-40 will assure for Headquarters.)
 - (3) All requests for secondary distribution of both public communications and scientific, technical, and engineering publications are sent to MA-7.
 - (4) All information required for the registry, distribution, and inventory systems is sent to MA-7. (MA-40 will assure for Headquarters.)
- b. Develop, in collaboration with MA-7, and operate distribution systems unique to their activities.