

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

**ORDER**

DOE 1340.1

*Cancelled by DOE 1340.1A  
of 8-25-82*

8-10-79

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

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1. PURPOSE. This order prescribes policies, standards, and procedures for effective management of Department of Energy (DOE) publications.
2. SCOPE. The provisions of this order apply to all elements of the DOE including the Federal Energy Regulatory Commission (FERC), the Energy Information Administration (EIA), and the Economic Regulatory Administration (ERA), except for their statutory responsibilities and authorities that exempt these named offices and their contractors from compliance with certain aspects of this order. This order also applies to all DOE contractors and grantees and their contractors and subcontractors who produce publications or obtain publication service with DOE funds.
3. 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., Sections 4151-4168, "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 (JCP), Congress of the United States, April 1977, No. 24, which establishes policies for the production of Government printing.
  - f. "Government Paper Specifications Standards," Joint Committee on Printing, Congress of the United States, April 1977, which establishes standards for paper used in production of Government printing.

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**DISTRIBUTION:**  
All Departmental Elements  
Federal Energy Regulatory  
Commission

**INITIATED BY:**  
Office of Administrative Services

- g. Federal Supply Schedule, Basis 1G 733 Part III, Section C, Number 7333, "Visual Arts, Graphics, and Associated Services," General Services Administration (GSA), which is a schedule of approved suppliers for these products.
- h. "Agency Procedural Handbook for Commercial Procurement of Printing Services," Government Printing Office, October 1975, which outlines procedures to be followed in working with the Government Printing Office.
- i. Office of Management and Budget Circular A-3, "Government Periodicals," 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.
- j. DOE 1330.2, "Uniform Contractor Reporting System," of 3-1-79, and DOE/CR-0001/2, "Uniform Contractor Reporting System Guidelines," which establishes requirements for reporting to the Department.
- k. DOE Technical Information Center, DOE/TIC-4603, "Scientific, Technical and Engineering Publications Handbook," which outlines procedures to be followed with the technical information program.
- l. 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.
- m. DOE 1000.2, "Department Seal and Flag," of 8-25-78, which prescribes policies on the use of the Departmental seal.
- n. American National Standards Institute (ANSI) standards which establishes standards for scientific and technical reports:
  - (1) ANSI Standard Z39.14-71, "Writing Abstracts."
  - (2) ANSI Standard Z39.18-74, "Outlines for Format and Production of Scientific and Technical Reports."
  - (3) ANSI Standard Z39.23-74, "Technical Report Number."
- o. DOE 5650.2, "Classification of Information Manual," of 12-12-78, which establishes policies and procedures for the management of the DOE classification system.

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3 (and 4)

- p. Atomic Energy Act of 1945, as amended, which established procedures for control of atomic energy information.
- q. DOE Procurement Regulations, 41 CFR Part 9, 5-21-79, which implements and supplements Federal Procurement Regulations in relation to Department procurement.
- r. DOE Assistance Regulations, 10 CFR Part 600, 3-1-79, which implements and supplements the Federal Grant and Cooperative Agreement Act of 1977 (Public Law 95-224) in relation to providing financial assistance.

FOR THE SECRETARY OF ENERGY:



William S. Heffelfinger  
Director of Administration

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CHAPTER I  
DEFINITIONS

1. Publications. All documents produced by printing, copying, and microform methods using DOE funds which are intended for or which may result in distribution outside of the originating organization. This includes, but is not limited to, public communications publications; scientific, technical and engineering publications; administrative and program reports, periodicals, and books; documents describing plans or policies; statistical and regulatory reports; and documents intended for other Government entities and public or private organizations. It also includes briefing books, legislative impact analyses, annual reports, and similar publications that are distributed externally, however limited. Not included in this definition are press releases and advisories, speeches, correspondence, memoranda, forms, directives, and "Federal Register" issuances. Three special categories of publications are:
  - a. Public Communications Publications. All publications which are intended for distribution by DOE or its contractors to the public, including those of more limited circulation that involve DOE policy changes or matters of current public controversy or concern. These include, but are not limited to, pamphlets, folders, booklets, posters, periodicals, newsletters and similar printed material. (See chapter III.)
  - b. Scientific, Technical, and Engineering Publications. Publications containing scientific, technical, engineering, planning, educational information, environmental impact statements, and social, economic, energy-market-related information; reports; conference papers and proceedings; theses, translations, journal article reprints, engineering drawings, and similar data. (See chapter IV.) The audience for these publications is normally limited and identified. When the quantities to be printed exceed the total prescribed by the standard distribution lists (TID-4500) by 100 copies, the document will be considered a public communications publication.
  - c. Other Publications. Publications concerning matters of local interest only, those limited to materials which have been officially released and those comparable to publications made previously under substantially similar circumstances. For example, solicitation documents, contracts, notices of procurement, grant program announcements, legal briefs, and patent applications are normally excluded from this order. It is recognized that under special conditions a

publication normally excepted may require coordination with the Office of Public Affairs. In essence the interpretation of other publications is a matter of judgment and common sense.

2. Technical Information Center (TIC). The DOE central facility for the collection, processing, distribution, inventory control, and archival retention of all DOE publications.
3. Energy Data Base (EDB). A file of bibliographic citations and abstracts of DOE publications and the world's energy literature.
4. Remote Console (RECON). An online, interactive bibliographic retrieval system with multiple files, including EDB, that are concerned with all aspects of energy information.
5. Copying/Duplicating. The production of material by use of automatic copy-processing or copier-duplicating machines employing electrostatic, thermal and other copying processes.
6. 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), etc.); responsible office, Departmental element and agency; 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.
7. 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.
8. 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.
9. 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.
10. Document Distribution System (DDS). A Headquarters-managed computer-based system designed for updating distribution lists, production of mailing labels, and identification of copy requirements.
11. Standard Distribution System. A TIC-managed, computer-based system designed for the distribution of unclassified (TID-4500) and classified

(M-3679) Scientific and technical publications, production of mailing labels, and identification of copy requirements.

12. 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 (AD-40) Document Distribution System lists,
- (2) TIC Standard Category lists,
- (3) Special one-time lists, and
- (4) Storage copies for TIC secondary distributions.

b. Secondary. Response to requests and distribution plans following the primary distribution.

13. Inventory Control. A central registry maintained by TIC of all DOE publications by unique identification number and titles which includes quantities and history of distribution.

14. Task. One of a series of logical steps necessary to achieve the purpose of a research, development, and demonstration (RD&D) procurement action.

15. Publications Registry. A TIC-managed, computer-based system for registering all DOE publications.

16. Field Organizations: For the purpose of this order includes only the eight operations offices and the ten regions.

## CHAPTER II

### POLICY, RESPONSIBILITIES, AND AUTHORITIES

1. POLICY. The publications 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. OVERALL RESPONSIBILITIES AND AUTHORITIES.
  - a. Assistant Secretary for Intergovernmental and Institutional Relations (IR-1).
    - (1) Establishes policies for controlling DOE publications content, design, documentation, attribution, registry, inventory, and distribution.
    - (2) Establishes policies, standards, procedures and guidelines for reporting, collecting, processing, and disseminating information resulting from DOE programs.
    - (3) Establishes policies for the sale of information products through authorized outlets and limits free distribution to the minimum consistent with DOE objectives.
    - (4) Ensures that public communication publications have appropriate clearances before approval for printing.
    - (5) With the assistance and concurrence of the Assistant Secretaries for Defense Programs and International Affairs, Office of General Counsel, and the appropriate program Assistant Secretaries develops foreign agreements for information exchange.
  - b. Director of Administration (AD-1).
    - (1) Represents DOE with the Joint Committee on Printing (JCP), Government Printing Office (GPO), General Services Administration (GSA) and, in collaboration with the Assistant Secretary for Intergovernmental and Institutional Relations (IR-1), other organizations concerning printing and related printing activities.
    - (2) Develops, implements, and evaluates policies, standards, and procedures for printing and related printing activities to ensure that DOE publications are produced in accordance with this order, provisions of law, and applicable regulations.

- (3) In consultation with IR, develops and implements a program to evaluate Departmentwide publication printing activities.
- (4) After review by the Office of Public Affairs (IR-6), 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 (OMB) Circular No. A-3, "Government Periodicals."
- c. Assistant Secretary for Policy and Evaluation (PE-1). Ensures that publications referred by originating organizations or IR-1 have policy clearance before release for printing.
- d. Assistant Secretary for Defense Programs (DP-1). Ensures that publications referred by originating organizations or IR-1 have classification clearance before release for printing.
- 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 IR-1 comply with laws and regulations concerning patents, copyrights, trademarks, disclaimer notices, and nondisclosure of proprietary data.
  - (3) Public communications publications when referred to GC-1 will be reviewed as in subparagraphs (1) and (2).
- f. Director of Procurement and Contracts Management (PR-1). Includes 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 produced and distributed at DOE expense are consistent with such language.
- g. Heads of Headquarters and Field Organizations, and Chairman FERC.
  - (1) Ensure that DOE and DOE contractor organizations comply with the provisions of this order, and that appropriate language is included in contracts which they negotiate and administer.
  - (2) Establish the need for, the content of, and the intended audience of publications they propose originating.

- (3) Ensure that their proposed public communications publications and those of their contractors are submitted to IR-6 or its delegate for review, and that required clearances (policy, patent, classification, etc.) are obtained.
  - (4) As appropriate, designate a publications' coordinator to coordinate their publications activities and requests, including provision of distribution information, e.g., number of copies required, and mailing addresses.
  - (5) Request publications support services, including graphics, composition, printing, and distribution through appropriate channels: Headquarters through the Office of Administrative Services (AD-40); field through associated DOE contractors, regional printing procurement offices (RPP0's), and/or TIC. Headquarters, in collaboration with the Office of Technical Information (IR-14) and AD-40, may request specialized support services such as editing and marketing from TIC.
  - (6) Recommend to TIC changes, additions, and deletions to be made in the standard distribution lists (TID-4500 and M-3679) as appropriate; ensure 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 TIC the foreign language translation and subsequent publication of scientific, technical, and engineering information necessary to carry out DOE programs, and deposit with TIC all foreign language publications received through exchange programs.
  - (8) Submit to IR-1 requests to originate or continue periodicals.
  - (9) Submit to AD-1 requests to deviate from JCP regulations.
  - (10) Field organization heads review and evaluate the programs in public communications publications in collaboration with IR-6, and scientific, technical, and engineering publications with IR-14, and printing activities with AD-40.
- h. Administrator, Energy Information Administration (EI-1). Establishes policies, procedures, standards, and guidelines for the content, design, documentation, attribution, registry, inventory, distribution, and dissemination of energy information collected, processed or prepared by EI 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 develop the issuance of publications for the public; to ensure that these publications describe and support Department activities and policies; and to ensure that such publications are entered in the publications registry and inventory at the DOE Technical Information Center (TIC).
2. RESPONSIBILITIES AND AUTHORITIES.
  - a. Director of Public Affairs (IR-6).
    - (1) Manages a comprehensive public communications publications program that includes writing and editing original material; reviewing proposed outlines, summaries and manuscripts; ensuring required reviews; establishing and coordinating distribution plans; approving requests for bulk secondary distribution; and coordinating the inventory of such publications with TIC.
    - (2) Reviews requests for proposed pamphlets, booklets, periodicals, bulletins, and similar public communications publications; and ensures that publications referred by originating organizations have required clearances (e.g., policy, patent, classifications, etc.) before release for publishing. This authority may be delegated to field organizations at the discretion of IR-6.
    - (3) Establishes and chairs a Publication Review Board consisting of not less than five members, each representing a different DOE organization, to evaluate public communications publications policy and recommend adjustments and to act as an appeal board for publication decisions that may affect future policy.
    - (4) Represents the Department with other Government and non-Government organizations in matters concerning the content, need, and distribution of DOE public communications publications.
  - b. Heads of Headquarters and Field Organizations, and Chairman FERC.
    - (1) Ensure that all proposed public communications publications are submitted to IR-6 for review and approval before printing

and distribution. This authority may be delegated to field offices at the discretion of IR-6.

- (2) Encourage the development and distribution of public communications publications that reflect the efforts of the Department.
  - (3) Ensure the accuracy of public communications publications prepared under their program management and/or administrative jurisdiction.
  - (4) Submit copies of all public communications publications to TIC for registry and inventory control.
- c. Director of Administrative Services (AD-40). Ensures that all proposals for issuing public communications publications originated by Headquarters organizations have been submitted to IR-6 for review and approval before printing and distribution. Provides support services needed for printing public communications publications originated by Headquarters organizations or resulting from Headquarters-administered contracts.

### 3. GUIDELINES.

- a. All public communications publications of the Department or Department contractors and grantees and their contractors or subcontractors prepared and/or printed with DOE funds will be reviewed by IR-6 or its delegate 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 IR-6 or its delegate involves, but is not limited to, themes that:
    - (a) Are misleading to the public;
    - (b) Are self-aggrandizing;
    - (c) Support a commercial or political bias;
    - (d) Introduce controversial topics without proper balance;  
and
    - (e) Depart from policies of the Administration, Congress, or the Department without identifying such a departure.

- (2) Format. The publication must adhere to Joint Committee on Printing regulations, particularly on the use of multicolor, special paper stock, and unique trim sizes and die-cutting. The publication proposal must be accompanied with justification for the use of these items.
  - (3) Number of Copies, Distribution, and Registry. Publication proposals must include a discrete and justified initial distribution plan, and anticipate secondary needs. Publications must be registered and inventoried at the Technical Information Center.
  - (4) Redundancy. Proposed publications will not repeat information in existing DOE publications and will not add to the proliferation of Government titles.
  - (5) Clearances. Proper clearances, such as legal, policy and evaluation, classification, and patent must be obtained or deemed unnecessary by a proper authority. The reviewer has authority to overrule clearances deemed unnecessary and ensure that such clearances be obtained.
  - (6) Initial/Reprint/Revision Requests. All proposals must be made on a public communications publication proposal form (DOE Form IR-2, see attachment III-1). 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 IR-6 or its delegate, a second review may be requested before printing to ensure that suggested revisions or changes have been made.
- b. Following approval by IR-6, or its delegate, the publication is submitted for printing and primary distribution through appropriate channels: Headquarters through AD-40; field through associated DOE contractors, regional printing procurement offices (RPP0's), and/or TIC.

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Attachment III-1  
III-5 (and III-6)

### PUBLIC COMMUNICATIONS APPROVAL REQUEST

DOE FORM 1340  
(5-78)  
DOE ORDER 1340

U.S. DEPARTMENT OF ENERGY  
PUBLIC COMMUNICATIONS PUBLICATION APPROVAL REQUEST

|  |  |                           |  |
|--|--|---------------------------|--|
| 1. TITLE OF PUBLICATION<br><br>1   |  | 2. DOCUMENT NO.           |  |
|  |  | 3. DATE (Of This Request) |  |
| 4. BRIEF DESCRIPTION OF PURPOSE AND CONTENTS   |  |                           |  |
| 5. ORIGINATING OFFICE (Address-Room/Building)  |  | 6. PERSON TO CONTACT      |  |
|  |  | 7. TELEPHONE NO.          |  |
| 8. "X" ONE<br><input type="checkbox"/> NEW PUBLICATION<br><input type="checkbox"/> MAJOR REVISION<br><input type="checkbox"/> MINOR REVISION<br><input type="checkbox"/> REPRINT AS CORRECTED<br><input type="checkbox"/> REPRINT WITHOUT CHANGE | 9. NEW PUBLICATION SUPERSEDES  |                           | 10. ESTIMATED LIFE OF PUBLICATION  |
|  | 11. IDENTIFY TITLES OF SIMILAR DOE PUBLICATIONS (Use 18. REMARKS, if Necessary)  |                           | 12. REPRINTING ANTICIPATED?<br><input type="checkbox"/> YES <input type="checkbox"/> NO  |
|  | 13. DISTRIBUTION OF OLD INVENTORY<br><input type="checkbox"/> STOCK OUTDATED—DO NOT DISTRIBUTE   |                           | 14. NUMBER OLD COPIES IN STOCK   |
|  | 15. * Submitting Office Obtains Appropriate Reviews. "X" REVIEWS REQUIRED AND OBTAINED<br><input type="checkbox"/> PROGRAM TECHNICAL REVIEW<br><input type="checkbox"/> POLICY AND EVALUATION<br><input type="checkbox"/> OFFICE OF CLASSIFICATION<br><input type="checkbox"/> OFFICE OF GENERAL COUNSEL |                           | 16. PRODUCTION REQUIREMENTS<br>"X" APPLICABLE ITEMS<br><input type="checkbox"/> MULTI-COLOR<br><br><input type="checkbox"/> RECOMMENDED FOR SALE<br><br><input type="checkbox"/> FREE DISTRIBUTION |
|  |  | ESTIMATED PRINTING COSTS  |  |
|  |  | SOURCE OF FUNDS           | NUMBER COPIES TO BE PRINTED  |
|  |  | DATE REQUIRED             | TRIM SIZE  |
| 17. DISTRIBUTION PLAN (Primary and Secondary) (Attach Separate Page, if Necessary)   |  |                           |  |
| 18. REMARKS  |  |                           |  |
| 19. NAME OF OFFICE/DIVISION DIRECTOR (Type or Print)   |  |                           |  |
| 20. SIGNATURE OF OFFICE/DIVISION DIRECTOR  |  |                           |  |
| COPY TO: 1. OPA File Copy 2. Reviewer's Copy 3. HQ-AD-46 or Field Printing Officer 4. Originating Office 5. TIC Registry   |  |                           |  |
| DATE RECEIVED  |  |                           |  |
| FOR OPA USE ONLY<br>COMMENTS   |  |                           |  |

☐ APPROVED FOR PRINTING  
NAME OF REVIEWER (Type or Print)

☐ NOT APPROVED FOR PRINTING  
SIGNATURE OF REVIEWER

## 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 TIC whether released or not released to others; including reimbursable work done for others at DOE facilities. TIC will develop detailed bibliographic records and abstracts of the information for input into DOE's 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 TIC will be announced and made available, through approved channels, to the scientific, technical, engineering and industrial communities, and to the public.
2. RESPONSIBILITIES AND AUTHORITIES.
  - a. Director of Technical Information (IR-14).
    - (1) Through the DOE Technical Information Center, plans, develops, and administers programs and systems for acquiring (worldwide), publishing, processing, storing, retrieving, announcing, and distributing technical information in support of DOE programs and activities; maintains a central energy-related technical information Energy Data Base (EDB) and publishes DOE abstract journals.
    - (2) Develops and maintains a system to ensure that DOE receives adequate and acceptable 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 commercial and international reference systems.
    - (4) Ensures 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 processed, 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 DOE 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 (NTIS).
- (6) Develops and provides specialized technical information services and products (e.g., online literature searches, professional textbook and technology transfer publications, bibliographies, indexes, etc.) to meet DOE programmatic and project needs. All public communications publications must be reviewed by IR-6 (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 offices 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 (AD-40).

- (1) Provides support services needed for printing scientific, technical, and engineering publications originated by Headquarters organizations or resulting from Headquarters-administered contracts.
- (2) Ensures that the specified number of copies of such publications are sent to TIC for processing and distribution.
- (3) Approves requests for initial printing or reproduction of scientific, technical, and engineering publications originated by Headquarters organizations. When the quantities requested exceed the totals prescribed by the standard distribution lists (TID-4500) by 100 copies, the document will be considered a public communications publication (see chapter III).

c. Heads of Headquarters and Field Organizations, and Chairman FERC.

- (1) Ensure 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) Ensure that the minimum DOE scientific, technical and engineering reporting requirements are called for in each research, development, and demonstration procurement action or task agreement and others prepared under the action or task are deposited at TIC (see attachment IV-3).
- (3) Encourage the preparation of documents which brings new or better information, theories, or advances to the appropriate audiences as quickly and concisely as possible.
- (4) Ensure 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 TIC of such determination. Ensure that the specified number of copies are sent to TIC 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 TIC promptly when performing organizations are to be added or deleted from standard distribution because of contractual action.
- (7) Coordinate with TIC the foreign language translation and subsequent publication of scientific, technical, and engineering information necessary to carry out DOE programs, and deposit with TIC all foreign language publications received through exchange programs.
- (8) In collaboration with the funding program unit, approve requests for initial printing or reproduction of scientific, technical, and engineering publications prepared under non-Headquarters contracts. When quantities requested exceed the total prescribed by the standard distribution lists

(TID-4500) by 100 copies, the document will be considered a public communications publication.

3. GUIDELINES. 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 TIC including a properly prepared Form DOE-426, "DOE and Major Contractor Recommendations for Disposition of Scientific and Technical Document," or Form DOE-427, "University-Type Contractor and Grantee Recommendations for Disposition of Scientific and Technical Document," (attachments IV-1 and IV-2). Conference papers shall be sent to TIC in advance of meetings when feasible. Open literature articles shall be sent to TIC as reprints. When the publication cannot be reproduced or sufficient copies obtained, a legible reproducible master shall be sent to TIC for processing, as appropriate.
  - b. Scientific, technical, and engineering publications to be distributed outside the originating organization shall be sent to TIC. (In this context, transmittal of a scientific, technical, or engineering publication to the sponsoring DOE Headquarters organization, to the DOE office 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, "Standard Distribution for Classified Scientific and Technical Reports," generated by DOE offices or contractors are to be made available to TIC for processing and controlled distribution.
  - d. Information developed in research, development, and demonstration work supported by DOE is to be reported promptly and fully, and Headquarters organizations shall ensure that at least the minimum reporting requirements outlined in DOE Form 537, (attachment IV-3), are forwarded to TIC 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 TIC in aperture card form.
  - f. Scientific, technical, and engineering publications not previously sent to TIC under the provisions of subparagraphs a, b, or c shall be sent if specifically requested by TIC.

DOE AND MAJOR CONTRACTOR RECOMMENDATIONS FOR DISPOSITION  
OF SCIENTIFIC AND TECHNICAL DOCUMENTS

DOE Form IR-426  
(1/79)

U.S. DEPARTMENT OF ENERGY

DOE AND MAJOR CONTRACTOR RECOMMENDATIONS FOR  
DISPOSITION OF SCIENTIFIC AND TECHNICAL DOCUMENT

See Instructions on Reverse Side

|                   |                 |                         |
|-------------------|-----------------|-------------------------|
| 1. DOE Report No. | 2. Contract No. | 3. Subject Category No. |
|-------------------|-----------------|-------------------------|

4. Title \_\_\_\_\_

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 Thesis, Translations, 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.  
☐ 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 Clearance  
Does this information product disclose any new equipment, process or material? ☐ Yes ☐ No  
Has an invention disclosure been submitted to DOE covering any aspect of this information product? If so, identify the DOE (or other) disclosure number and to whom the disclosure was submitted. ☐ Yes ☐ No  
Are there any patent related objections to the release of this information product? If so, state these objections.  
  
("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 other than restricted data.

12. Copy Reproduction and Distribution  
Total number of copies reproduced \_\_\_\_\_ Number of copies distributed outside originating organization \_\_\_\_\_

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

14. Submitted by (Name and Position) (Please print or type)  
\_\_\_\_\_  
Organization \_\_\_\_\_  
Signature \_\_\_\_\_ Date \_\_\_\_\_

# INSTRUCTIONS

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

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, BNL, 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-AC01-78ET01834-M002  
DOE/ET/01834-1  
DOE/ET/01834-2  
DOE/ET/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 TID-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. If box *e* is checked, the number of copies specified for the appropriate category or categories in M-3679 or TID-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.

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 *e* is checked for an unclassified document, it may be distributed by TIC (after patent clearance) to addressees listed in TID-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 *e* 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 *e* 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 *e* in Item 7 is checked for an unclassified document, it will normally be listed in the weekly "Accessions of Unlimited Distribution Reports by TIC" (TID-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 *e* is checked, the document cannot be made available to Access Permit holders (Code of Federal Regulations, 10 CFR, Part 25, subpart 25.6); 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.

DOE 1340.1  
8-10-79

Attachment IV-2  
IV-7

UNIVERSITY-TYPE CONTRACTOR AND GRANTEE  
RECOMMENDATIONS FOR DISPOSITION OF  
SCIENTIFIC AND TECHNICAL DOCUMENTS

DOE Form IR-427  
(1/78)

U.S. DEPARTMENT OF ENERGY

UNIVERSITY-TYPE CONTRACTOR AND GRANTEE RECOMMENDATIONS  
FOR DISPOSITION OF SCIENTIFIC AND TECHNICAL DOCUMENT

*See Instructions on Reverse Side*

|  |  |
|--|--|
| 1. DOE Report No.  | 3. Title                                 |
| 2. Contract No.  |  |
| 4. Type of Document ("X" one)<br><input type="checkbox"/> a. Scientific and technical report<br><input type="checkbox"/> b. Conference paper:<br>Title of conference _____<br>Date of conference _____<br>Exact location of conference _____<br>Sponsoring organization _____<br><input type="checkbox"/> c. Other (Specify Thesis, Translations, etc.) _____  |  |
| 5. Recommended Announcement and Distribution ("X" one)<br><input type="checkbox"/> a. DOE's normal announcement and distribution procedures may be followed.<br><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 Information<br>Does this information product disclose any new equipment, process or material? <input type="checkbox"/> Yes <input type="checkbox"/> No<br><br>Has an invention disclosure been submitted to DOE covering any aspect of this information product? If so, identify the DOE (or other) disclosure number and to whom the disclosure was submitted. <input type="checkbox"/> Yes <input type="checkbox"/> No<br><br>Are there any patent related objections to the release of this information product? If so, state these objections. _____ |  |
| 8. Submitted by  | Name and Position (Please print or type) |
| Organization _____   |  |
| Signature  | Date                                     |

FOR DOE 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.  
☐ c. Patent clearance not required.

## INSTRUCTIONS

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 DOE-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 DOE-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 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

If the contract number is DE-AC01-78ET01834.M002, the reports generated will be numbered:

DOE/ET/01834-1  
DOE/ET/01834-2  
DOE/ET/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 TID-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, b, or c, and forward this form and document to:

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

DOE MINIMUM REPORTING REQUIREMENTS  
REPORTING REQUIREMENTS CHECKLIST

U. S. DEPARTMENT OF ENERGY  
REPORTING REQUIREMENTS CHECKLIST

DOE Form CR-537  
(1-78)

(See Instructions on Reverse)

FORM APPROVED  
OMB NO. 38R-0190

|   |           |  |           |
|---|-----------|--|-----------|
| 1. IDENTIFICATION   |           | 2. OBLIGATION INSTRUMENT:  |           |
| 3. REPORTING REQUIREMENTS   |           |  |           |
| <b>A. PROJECT MANAGEMENT</b><br>1. <input type="checkbox"/> Management Plan<br>2. <input type="checkbox"/> Milestone Schedule & Status Report<br>3. <input type="checkbox"/> Cost Plan<br>4. <input type="checkbox"/> Manpower Plan<br>5. <input type="checkbox"/> Contract Management Summary Report<br>6. <input type="checkbox"/> Project Status Report<br>7. <input type="checkbox"/> Cost Management Report<br>8. <input type="checkbox"/> Manpower Management Report<br>9. <input type="checkbox"/> Conference Record<br>10. <input type="checkbox"/> Hot Line Report | Frequency | <b>B. TECHNICAL INFORMATION REPORTING</b><br>1. <input checked="" type="checkbox"/> Notice of Energy RD&D Project (SSIE)<br>2. <input checked="" type="checkbox"/> Technical Progress Report<br>3. <input type="checkbox"/> Topical Report<br>4. <input checked="" type="checkbox"/> Final Technical Report<br><br><b>C. PMS/MINI-PMS</b><br>1. Cost Performance Report<br><input type="checkbox"/> Format 1 WBS<br><input type="checkbox"/> Format 2 Functional<br><input type="checkbox"/> Format 3 Baseline<br><input type="checkbox"/> Format 5 Problem Analysis<br>2. <input type="checkbox"/> Cost/Schedule Status Report<br>3. <input type="checkbox"/> Management Control System Description<br>4. <input type="checkbox"/> Summary System Description<br>5. <input type="checkbox"/> WBS Dictionary | Frequency |
| FREQUENCY CODES: A - As Required      Q - Quarterly<br>C - Contract Change      S - Semi-Annually<br>F - Final (End of Contract)      X - Mandatory for Delivery with Proposals/Bid<br>M - Monthly      Y - Yearly or Upon Contract Renewal<br>O - One Time (Soon After Contract Award)   |           |  |           |
| 4. SPECIAL INSTRUCTIONS<br><br><u>When Appropriate</u><br><br>The contractor is expected to publish the results of this work in professional journals. Appropriate reviews must be made. A credit line, similar to the following must appear with the publication: "Work supported by the U.S. Department of Energy, Assistant Secretary for _____, Office of _____ under contract (grant) No. _____." A reprint copy must be sent to TIC.  |           |  |           |
| 5. ATTACHED HEREWITH:<br><div style="display: flex; justify-content: space-between;"> <div> <input type="checkbox"/> Report Distribution List<br/> <input type="checkbox"/> WBS/Reporting Category         </div> <div> <input type="checkbox"/><br/> <input type="checkbox"/> </div> </div>  |           |  |           |
| 6. PREPARED BY (Signature and date):  |           | 7. REVIEWED BY (Signature and date):   |           |

# 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 achievement.

**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 PMS/Mini-PMS

### 1) 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 change and internal re-planning into the performance measurement baseline.

**Format 5** - Provides a narrative analysis of contract variances.

**2) Cost Schedule Report (Mini-PMS Application)** - Periodic, usually monthly, report of cumulative budget, actual costs and earned value by summary work breakdown structure elements. Identifies cost and schedule variances and provides contractor's estimate to complete comparisons to budgets.

**3) System Description (PMS Application)** - Contractor's description of the management control system to be used in performing contract work. Must address all elements of the PMS criteria.

**4) Summary System Description (Mini-PMS Application)** - Contractor's summarized description of the management control system to be used in performing contract work.

**5) WBS Dictionary** - Lists and defines work breakdown structure. For more detailed instructions see PMS Manual.

**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/or design services for DOE publications. Inclusive in design and graphic services are illustration, design, drafting, photography, mapping, and/or any other type of communication art product used or produced in part or in total for inclusion in a publication. Printed media includes all publications, brochures, posters, maps, flyers, reports, and/or any type of publication printed with Government funds.
2. RESPONSIBILITIES AND AUTHORITIES.
  - a. Assistant Secretary for Intergovernmental and Institutional Relations (IR-1).
    - (1) Approves design and graphics for public communications publications and scientific, technical, and engineering publications to assure that they are consistent with this order.
    - (2) Concurs on DOE-wide design and graphic guidelines produced by AD-40 prior to release.
  - b. Director of Administrative Services (AD-40).
    - (1) Develops policies, procedures, standards, and guidelines for DOE-wide design and graphic services.
    - (2) 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.
    - (3) Represents DOE with the National Endowment for the Arts, Federal Design Improvement Program, on design and related matters, including submission of required reports.
    - (4) 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.
    - (5) Represents DOE with the U.S. Geological Survey (USGS) for coordination and production of DOE cartographic requirements;

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submits periodic reports on DOE basic mapping activities to USGS in accordance with OMB Circular A-16; and requests USGS service, concurrence, or guidance for Headquarters major mapping programs.

- (6) Develops symbols, design devices, and/or logos produced as identifiers for DOE publications, develops guidelines for new symbols to assure consistency with the DOE-wide design program.
- (7) Reviews periodically the efficiency and effectiveness of selected publication projects produced or initiated by DOE and its contractors to ensure a consistent and quality visual image for DOE and adherence to policy and guidelines established in this chapter.

c. Heads of Headquarters Organizations, and Chairman FERC.

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

d. Heads of Field Organizations.

- (1) Produce or procure design and graphics services to meet their programmatic requirements in compliance with standards set forth in this order and guidelines for design and graphics issued by AD-40.
- (2) Use Federal Supply Schedule, Basis 1G 733, part III, section C, No. 7333 (Visual Arts, Graphics, and Associated Services), when in-house capabilities cannot satisfy requirements or other appropriate Federal Supply Schedules.
- (3) Coordinate mapping requirements with the appropriate USGS regional mapping centers and AD-40.

3. STANDARDS AND GUIDELINES. Usage of the DOE seal must be in accordance with DOE 1000.2. No revision or changes to the DOE seal are authorized unless approved by the Director, Office of the Secretary.

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 at DOE expense. It also includes guidance for the acquisition of word processing/text editing, composition, copying, duplicating, and printing equipment.
2. RESPONSIBILITIES AND AUTHORITIES.
  - a. The Director, Office of Administrative Services (AD-40).
    - (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 (JCP) 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 (JCP column 1 and 2 equipment).
      - (c) Deviations from JCP restrictions.
    - (4) Represents DOE with the JCP and the Government Printing Office (GPO) on printing and related activities, including review and submission of reports required of DOE.
    - (5) Represents DOE with the General Services Administration (GSA) on word processing activities.
    - (6) Reviews and processes requests to print periodicals in coordination with IR-1.

- (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 the TIC, Library of Congress, and depository libraries through the facilities of the GPO.
- (9) Maintains selected information on all Headquarters word processing/text editing and copying equipment.
- b. Director of Procurement and Contracts Management (PR-1). Ensures 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 at DOE expense.
- c. Director of Organization and Management Systems (AD-20). Determines requirements for DOE forms and furnishes requisitions, copy, specifications, and distribution patterns to AD-40 for processing.
- d. Heads of Headquarters Organizations, and Chairman, FERC.
  - (1) Ensure that all Headquarters-originated graphics, duplicating, and printing requirements are submitted to AD-40 for processing in accordance with the provisions of this order.
  - (2) Submit requests to AD-40 for the acquisition of word processing/text editing systems with supporting work load justification.
- e. Heads of Field Organizations.
  - (1) Ensure that organizations and contractors under their jurisdiction comply with this order and that they are provided copies of the Government Printing and Binding Regulations, Office of Management and Budget Circular Letters, Federal Property Management Regulations (FPMR), GPO Circular Letters, etc.
  - (2) Procure or provide composition, duplicating, copying, printing, and related services in-house or through GPO regional printing procurement offices to meet program requirements. Printing may be performed in a DOE-authorized printing plant in accordance with JCP 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 AD-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 JCP regulations. This includes word processing/text editing systems which are coupled with photocomposition devices.
  - (c) Deviations from the JCP restrictions.
  - (d) Strike-on composition equipment regardless of cost.
- (5) Designate a DOE or DOE 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

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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.

NOTICE: 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 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 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 GPO or RPP0.

- (1) When a DOE field organization or a DOE contractor requisitions printing from a RPP0 it shall be in accordance with the procedures outlined in the GPO "Agency Procedural Handbook for Commercial Procurement of Printing Services." All DOE 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 RPP0's are contained in attachment VI-2.
- (2) Special term contracts may be requested from the GPO or RPP0's by DOE Headquarters, field organizations, and contractors by submitting a Standard Form 1 when: (a) categories of work fall outside the specifications of the GPO/RPP0 general purpose

contracts, and/or (b) geographical location of a DOE office creates delays in obtaining satisfactory delivery. The GPO and RPP0 should be requested to arrange for pickup and delivery at the originators 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 RPP0 which serves 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 AD-40 for approval and/or coordination with JCP. 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 AD-40 approval prior to acquisition would include, 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 RPP0 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 JCP Form No. 7

(Excess Equipment) must be submitted to AD-40 for coordination with the JCP. Exception: If the column 1 equipment is needed at another site, that office shall submit a request for transfer with justification to AD-40 for coordination with the JCP. If the transfer is approved, no JCP report is required.

- (3) Request for Proposals for Printing Equipment. Approval must be obtained from AD-40 before a field organization or contractor can issue a Request for Proposal (RFP) 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 JCP Form No. 3 (Acquisition of Power-operated Collators for Use in Facilities Other Than Printing Plants) to AD-40 for coordination with JCP. 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 AD-40 for review and submission to the JCP.
  - (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/RPPO and reasons therefor.
    - 3 Existing duplicating and copying equipment showing trade name, model number, serial number, size, condition, age, and estimated present value using JCP 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 JCP Form No. 5 and indicate disposition plans for excess equipment and justification for retention of equipment that is not to be surplus.

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

c. Word Processing Equipment Acquisitions Guidelines.

- (1) DOE Headquarters. All requests for the acquisition of word processing/text editing systems shall be forwarded to AD-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 and DOE Contractors.
- (a) A DOE or DOE 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 an appropriate official for review and approval.
    - 1 Location and type of word processing/text editing systems currently assigned to requesting office.
    - 2 Determine the number of lines required in a 2-week period of original and repetitive typing (for this purpose revised lines are counted as original typing lines and repetitive typing is the retyping of a line that remains unchanged).
    - 3 Determine 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 Determine estimated annual costs using the proposed word processing 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 (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) Reports. Each field organization and contractor shall submit an annual report on word processing activities to AD-40 by November 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.

d. Copying Equipment Acquisitions Guidelines.

(1) DOE 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," (attachment VI-3) to AD-40 for evaluation and appropriate action.
- (b) Copying requirements which exceed 600 total copies should be referred to the Printing Operations Branch (AD-463) for reproduction.

(2) Field Organizations and DOE Contractors.

- (a) Copying equipment should be centralized into copy centers, where possible, based on program requirements and proximity to the nearest duplicating facility or in-house printing plant.
- (b) A designated DOE or contractor official should review 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 AD-40 by November 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.
  - 4 Total cost of supplies (i.e., paper, toner, developer, etc.).

- 5 Total cost per copy (including supplies) for:
    - a Leased equipment (totals of 3 a and 4 divided by 2 a).
    - b Owned equipment (totals of 3 b and 4 divided by 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 AD-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.

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Attachment VI-1  
VI-13

DOE AUTHORIZED PRINTING PLANTS

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  
825 North Capitol Street  
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. 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 50010
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 81501
18. Albuquerque Operations Office  
Albuquerque, NM 87115
19. Los Alamos Scientific Laboratory  
Los Alamos, NM 87545
20. Sandia Laboratories  
Albuquerque, NM 87115

Region 9

21. University of California  
Lawrence Berkeley Laboratory  
Berkeley, CA 94720

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Attachment VI-1  
VI-15 (and VI-16)

22. University of California  
Lawrence Livermore Laboratory  
Livermore, CA 94550

23. Reynolds Electrical & Engineering Co., Inc.  
Mercury, NV 89114

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 99325

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Attachment VI-2  
VI-17

REGIONAL PRINTING PROCUREMENT OFFICES

Atlanta Printing Procurement Office  
Room 403  
900 Peachtree Street, NE.  
Atlanta, GA 30309.....(404)257-3666

Boston Printing Procurement Office  
Room 1400  
John W. McCormack Post Office and Court House  
Post Office Square  
Boston, MA 02109.....(617)223-7566

Chicago Printing Procurement Office  
Room 1051  
610 South Canal Street  
Chicago, IL 60607.....(312)353-3916

Columbus Printing Procurement Office  
Room 34, Federal Office Building  
200 North High Street  
Columbus, OH 43215.....(614)942-6884

Dallas Printing Procurement Office  
Room 3B7  
1100 Commerce Street  
Dallas, TX 75202.....(214)749-3111

Denver Printing Procurement Office  
Building 53, Room H-1004  
Denver Federal Center  
Denver, CO 80225.....(303)234-2139

Hampton Printing Procurement Office  
Langley Air Force Base, VA 23665.....(804)928-2553

Los Angeles Printing Procurement Office  
Room 2E26, Federal Office Building  
1500 Aviation Boulevard  
Lawndale, CA 90261.....(213)966-6650

New York Printing Procurement Office  
7th Floor  
201 Varick Street  
New York, NY 10014.....(212)660-3321

Attachment VI-2  
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Philadelphia Printing Procurement Office  
Suite 306, 3rd Floor  
8001 Roosevelt Boulevard  
Philadelphia, PA 19152.....(215)486-5441

San Francisco Printing Procurement Office  
620 Folsom Street  
San Francisco, CA 94107.....(415)556-5356

St. Louis Printing Procurement Office  
Room 1466  
210 North 12th Street  
St. Louis, MO 63101.....(314)279-4371

Seattle Printing Procurement Office  
4735 East Marginal Way, South  
Seattle, WA 98134.....(206)399-3763

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Attachment VI-3  
VI-19 (and VI-20)

## REQUEST FOR COPYING EQUIPMENT

DOE Form AD-H2J  
(1-78)

### DEPARTMENT OF ENERGY REQUEST FOR COPYING EQUIPMENT (Headquarters)

#### PART I—To Be Completed by Requesting Office

|  |  |   |                          |
|--|--|---|--------------------------|
| ORGANIZATION<br>Administrative Services  |  | NUMBER OF PEOPLE<br>IN ORGANIZATION 50  | DATE<br>12/4/78          |
| CONTACT<br>John Adams  |  | TELEPHONE NUMBER<br>252-4444  | ROUTING SYMBOL<br>AD-460 |
| LOCATION OF COPIER<br>6-H-100 Forrestal  |  | PERCENT OF ORIGINALS REQUIRING:<br>75 1 COPY<br>50 2-4 COPIES<br>35 5-10 COPIES<br>25 OVER 10 COPIES<br>(Please furnish a distribution pattern for these copies including an explanation why your needs cannot be obtained from Central Reproduction) |                          |
| SPACE <input checked="" type="checkbox"/> AVAILABLE <input type="checkbox"/> NOT AVAILABLE                     |  | PERCENT OF ORIGINALS NEEDED WITHIN:<br>75 1 HOUR<br>50 2 HOURS<br>35 2-4 HOURS<br>25 5-8 HOURS<br>15 OVER 8 HOURS (1 calendar day)  |                          |
| ESTIMATED NUMBER<br>OF COPIES TO BE<br>MADE MONTHLY<br><br>10,000  | PERCENT REQUIRING:<br>50 COLLATION<br><br>25 REDUCTION |   |                          |
| DO YOU NOW HAVE<br>A COPIER? <input type="checkbox"/> YES <input checked="" type="checkbox"/> NO               |  | WILL THE PROPOSED COPIER<br>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<br><i>John Adams</i> 12/4/78 | SIGNATURE AND DATE OF OFFICE OR DIVISION DIRECTOR<br><i>John Adams</i> 12/4/78 |
|--|--|

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

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

## CHAPTER VII

### PUBLICATIONS REGISTRY, DISTRIBUTION, AND INVENTORY MANAGEMENT

1. GENERAL. The registry, distribution, and inventory management systems shall effectively support DOE publications activities.
2. RESPONSIBILITIES AND AUTHORITIES.
  - a. Assistant Secretary for Intergovernmental and Institutional Relations (IR-1).
    - (1) Establishes policies, standards, and procedures for the DOE publication registry.
    - (2) Establishes policies for controlling DOE publication distribution and for inventory management.
  - b. Director of Public Affairs (IR-6).
    - (1) Establishes or approves primary and secondary distribution plans for public communications publications.
    - (2) Approves all requests for bulk distribution and special secondary distribution plans for public communications publications. These involve exhibit programs, additional quantities for field offices, and similar demands.
    - (3) Requests and approves reprinting of public communications publications to maintain inventory supply as deemed necessary.
  - c. Director of Technical Information (IR-14).
    - (1) Maintains and administers a central registry and archive of all DOE publications except forms, directives, internal announcements, and similar documents.
    - (2) Establishes and administers the operating policies and procedures for managing the distribution of DOE publications.
      - (a) Develops and operates, through the Technical Information Center (TIC), a system of initial and secondary distribution of scientific, technical, and engineering publications.
      - (b) Develops and operates a system for the secondary distribution of all DOE publications (i.e., scientific, technical, and engineering and public communications).

- (c) Plans, develops, and operates a system for responding to the information needs of the public and private sectors and specialized audiences.
  - (d) Consistent with 2(b) above, provides advice and assistance for DOE Headquarters and field organizations regarding the secondary distribution patterns and outlets for DOE public communications publications and is responsible for establishing and maintaining working relationships with all secondary distribution services and systems.
- (3) Establishes and administers the operating policies and procedures for the inventory of all DOE publications except forms, directives, internal announcements, and similar documents.
  - (4) Establishes and approves publication identification numbering systems for scientific, technical, and engineering; public communications publications; and other information products under registry and inventory control.
  - (5) Develops and administers an annual updating system for standard distribution categories that include verification of address and continuing need for DOE publications. Failure to reply requires the elimination of the addressee from the distribution category.
- d. Director of Administrative Services (AD-40).
- (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 the Technical Information Center (TIC).
  - (3) Forwards balance of publications to TIC following initial distribution.
  - (4) Is responsible for distribution and inventory of Headquarters-originated administrative publications (directives, internal announcements, and similar documents).
- e. Heads of Headquarters and Field Organizations.
- (1) Ensure that performing organizations under their program management and/or administrative jurisdiction direct publications to proper sources for program support.

- (a) All proposed public communications publications are reviewed by IR-6 or its delegate before printing or initial distribution (see chapter III, section 3).
  - (b) All scientific, technical, and engineering publications are sent to TIC for initial and secondary distribution. (AD-40 will ensure for Headquarters.)
  - (c) All requests for secondary distribution of both public communications and scientific, technical, and engineering publications are sent to TIC.
  - (d) All information required for the registry, distribution, and inventory systems is sent to TIC. (AD-40 will ensure for Headquarters.)
- (2) Develop, in collaboration with TIC, and operate distribution systems unique to their activities.