

Approved: 4-9-01
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SUBJECT: SCIENTIFIC AND TECHNICAL INFORMATION MANAGEMENT

1. **OBJECTIVE.** To establish Department of Energy (DOE) requirements and responsibilities to ensure that scientific and technical information (STI) is identified, processed, disseminated, and preserved in a manner that (a) enables the scientific community and the public to locate and use the unclassified and unlimited STI resulting from DOE's research and related endeavors and (b) ensures access to classified and sensitive unclassified STI is protected according to legal or Departmental requirements.

2. **CANCELLATIONS.** DOE O 241.1, *Scientific and Technical Information Management*, dated 8-17-98 is canceled. Cancellation of the above Order does not, by itself, modify or otherwise affect any contractual obligation to comply with the Order. Canceled Orders that are incorporated by reference in a contract remain in effect until the contract is modified to delete the reference to the requirements in the canceled Orders.

3. **APPLICABILITY.**
 - a. **DOE Elements.** This Order applies to all DOE elements, including those within the National Nuclear Security Administration (NNSA).

 - b. **Contractors.** The Contractor Requirements Document (CRD) (see Attachment 1) sets forth the requirements to be applied to all major facilities management contracts (i.e., management and operating contracts, management and integration contracts, or environmental restoration management contracts) resulting in the generation of STI. Compliance with the CRD will be required to the extent set forth in the contract.

Regardless of the performer of the work, contractors are responsible for compliance with the requirements of this Order to the extent set forth in the contract. Contractors are responsible for applying the requirements of this Order to subcontracts at any tier to the extent necessary to ensure the contractors' compliance with the requirements.

 - c. **Exclusions.** None.

4. REQUIREMENTS.

- a. DOE will make STI broadly available, within applicable laws and Departmental requirements, to accomplish mission objectives and strategic goals, promote scientific advancement, satisfy statutory protection and public dissemination requirements, and ensure a fair return on Departmental and taxpayer investment.
- b. DOE programs that fund activities that generate STI must emphasize it as a key outcome and use a “best business practices” approach to life-cycle information management to ensure that STI products are planned, budgeted, produced, processed, disseminated, stored, and disposed of (if appropriate) in cost-effective ways that enable full use of such information by all customer segments, including the research and development community, U.S. industry, and the general public.
- c. Each DOE element covered under this directive must have a formal STI point of contact (e.g., a technical information officer) to participate in the development and implementation of DOE’s Scientific and Technical Information Program (STIP).
- d. The Scientific and Technical Information Coordinating Group (STICG) will serve as an advisory body concerning cross-cutting STI issues. The STICG will be comprised of representatives of Headquarters’ elements that either fund research or set policies and practices affecting STI and representatives from the field and contractors.
- e. DOE programs must ensure that STI, including scientific and technical computer software, is reviewed as appropriate for sensitivity (including nonproliferation, national security, export control) and that appropriate announcement and availability restrictions are applied in accordance with statutory and/or other Departmental requirements.
- f. DOE programs must conduct formal STI performance reviews as appropriate as part of their program performance review process.
- g. DOE will use best business practices to facilitate cost-effective management and availability of DOE’s STI.
- h. DOE’s central STI coordinating office will manage an international STI exchange activity to ensure U.S. access to international scientific and technical advances and market information.
- i. All DOE elements must make the results of scientific and technical endeavors broadly available in useful and acceptable electronic formats, including announcing such STI results to the central coordinating office.

- j. Departmental elements must share STI within the Department to optimize resources, minimize costly duplication, and ensure maximum program advancement.
- k. DOE's central STI coordinating office will support program-specific STI management efforts by offering certain special support services upon request to DOE organizations that provide funding to cover incremental costs of the requested service(s).

5. RESPONSIBILITIES.

- a. Director, Office of Science, through the Office of Scientific and Technical Information (OSTI).
 - (1) Coordinates with stakeholders and establishes STI requirements and responsibilities that ensure optimal availability of Departmental STI to the varied customer segments, within applicable laws and Departmental requirements.
 - (2) Serves as the central Departmental STI coordinating office and as the ultimate DOE repository for DOE's STI.
- b. Heads of Departmental Elements, including those within the NNSA.
 - (1) Ensure that the objective and requirements of this Order are incorporated into their program planning, management, contract administration, and performance-based management activities.
 - (2) Instruct initiators of procurement requests for major facilities management contracts to specify whether the CRD for this Order applies in the award resulting from the procurement request and any special instructions for applying the CRD.
 - (3) Instruct initiators of procurement requests for non-major facilities management contracts to specify the required scientific and technical deliverables, the form of delivery, and the requirement for the accompanying "Announcement of DOE Scientific and Technical Information" record in the statement of work or the reporting requirements checklist.
 - (4) Instruct initiators of procurement requests for financial assistance instruments to specify the required scientific and technical deliverables, the form of delivery, and the requirement for the accompanying "Announcement of DOE Scientific and Technical Information" record on the Federal Assistance Reporting Checklist.

- c. The Office of Procurement and Assistance Management.
 - (1) Issues guidance on including performance objectives and measures for STI in performance-based research and development contracts.
 - (2) Issues guidance for financial assistance awards that addresses the identification and delivery of STI products.

 - d. Heads of Contracting Activities.
 - (1) Ensure that the CRD for this Order is applied to existing major facilities management contracts to the extent set forth in the contract and relevant new major facilities management contracts.
 - (2) Ensure that performance measures for STI management are included in performance-based research and development contracts, as appropriate.
 - (3) Ensure that non-major facilities management contractors and financial assistance recipients provide to DOE the announcement record and the scientific and technical deliverables specified in the award.
 - (4) Ensure that contractors and financial assistance recipients under their cognizance complete the announcement record and that the record and the scientific and technical report or product are provided to OSTI.

 - e. Deputy Administrator for Naval Reactors. In accordance with the responsibilities and authorities assigned by Executive Order 12344 (as in force under 50 U.S.C. 2406) and to ensure consistency throughout the joint Navy/DOE organization of the Naval Nuclear Propulsion Program, implement and oversee all requirements and practices pertaining to this DOE Order for activities under the Deputy Administrator's cognizance.
6. CONTACT. Questions or requests for exceptions to the provisions of this Order may be referred to OSTI in Oak Ridge, Tennessee, at 865-576-1035. DOE G 241.1-1, *Guide to the Management of Scientific and Technical Information*, provides nonmandatory guidelines for implementing the requirements and responsibilities of this Order.
7. REFERENCES. The following selected statutory references provide authority for the Department's scientific and technical information management program:
- a. Atomic Energy Act of 1954 (P.L. 83-703) established a program for the dissemination of unclassified scientific and technical information (42 U.S.C. Sec. 2013, 2051, and 2161).

- b. Energy Reorganization Act of 1974 (P.L. 93-438) provides responsibilities for developing, collecting, distributing, and making scientific and technical information available for distribution (42 U.S.C. Sec. 5813, 5817).
- c. Department of Energy Organization Act of 1977 (P.L. 95-91) provides for maintaining a central source of information and disseminating information (42 U.S.C. Sec. 5916, 7112).

8. DEFINITIONS.

- a. Scientific and Technical Information. Useful information products, in any format or medium, that are derived from scientific and technical studies, work, or investigations that relate to research, development, demonstration, and other specialized areas, such as environmental and health protection and waste management. STI products may be unclassified unlimited, sensitive unclassified, export controlled, classified, or declassified. DOE-funded STI originates primarily from research and other activities performed by major facilities management contractors, direct DOE-executed prime procurements, DOE-operated research activities, and financial assistance recipients, in addition to DOE employees.
- b. Announcement Record. Record containing metadata used to describe an STI product for announcement and availability. The record is transmitted to OSTI for general announcement.

Definitions for other STI management terms used throughout this Order can be found in Attachment 3 of DOE G 241.1-1, *Guide to the Management of Scientific and Technical Information*.



SPENCER ABRAHAM
Secretary of Energy

CONTRACTOR REQUIREMENTS DOCUMENT

DOE O 241.1A, SCIENTIFIC AND TECHNICAL INFORMATION MANAGEMENT

In the performance of Department of Energy (DOE) contracted obligations, each contractor is required to manage scientific and technical information (STI) created or obtained under the contract as a direct and integral part of the work and ensure its broad availability to all customer segments. STI is used to satisfy DOE statutory dissemination requirements, promote scientific advancement, and ensure a fair return on DOE and taxpayer investment.

Major facilities management contractors must accomplish the following.

1. Appoint a single STI point of contact to represent their organization in implementing DOE's STI Program (STIP).
2. Make available to DOE's Office of Scientific and Technical Information (OSTI) useful STI products (including scientific and technical computer software) resulting from scientific and technical endeavors. Each product (whether sent to OSTI or available at the contractor site) must be in an acceptable electronic format and include an electronic announcement record (as described in DOE G 241.1-1, *Guide to the Management of Scientific and Technical Information*). Such products include STI funded by DOE; developed under work for others and cooperative research and development agreements (unless specifically excluded in the agreement under which the work is done); and received in the conduct of DOE business, whether unclassified, sensitive, or classified.
3. Use best business practices in managing DOE's STI. Nonmandatory guidance on best business practices as identified by the DOE and contractor STI community is available in DOE G 241.1-1.
4. Determine appropriate release by reviewing STI generated under the contract, as appropriate, and applying any statutory or program-driven announcement and/or availability restrictions, including those related to nonproliferation, national security, and export control.
5. Notify OSTI when making substantive changes to STI previously announced or when permanently removing STI from Web access, in order to ensure continued availability through OSTI.
6. Apply the requirements of this Order to subcontracts at any tier to the extent necessary to ensure the contractors' compliance with the requirements.

NOTE: An implementation guide, DOE G 241.1-1, *Guide to the Management of Scientific and Technical Information*, is available for assistance in implementing the requirements of this Contractor Requirements Document. The guidelines for implementation are based on best business practices that are developed and revised in coordination with the DOE and contractor STI community and are illustrated throughout the DOE G 241.1-1.