STI INFORMATION MODULE II

ROLES AND RESPONSIBILITIES OF THE U.S. DEPARTMENT OF ENERGY SCIENTIFIC AND TECHNICAL INFORMATION POINTS OF CONTACT

It is important to understand the responsibilities of the scientific and technical information (STI) points of contact (POC) and their role as the primary focal point for their particular Operations or Field Office, contractor site, or Headquarters Program Office. The Contractor Requirements Document (CRD) in DOE Order 241.1 lists the STI Management requirements to be carried out by DOE Contractors. To facilitate carrying out these requirements, the STI POCs have agreed to a number of best business practices for managing the Department's STI; those practices are described in great detail throughout DOE Guide 241.1-1.

STI Information Module II is not intended to replace the CRD or the related sections of the Guide. For purposes of providing a useful STI Information Module several of the best business practices have been summarized below.

TECHNICAL INFORMATION OFFICERS

Technical Information Officers (TIO) serve as the principal Operations or Field Office POC and assistant to, and liaison with, the DOE Office of Scientific and Technical Information (OSTI) and DOE Headquarters regarding the Scientific and Technical Information Program (STIP). The TIOs have oversight of contractor STI activities; setting clear expectations. They must maintain a knowledge-base of contractor activities in terms of STI activities and provide timely feedback on issues as they emerge. While roles and responsibilities may differ, each major DOE element shall designate a TIO to perform STI-related activities.

Roles and Responsibilities

- TIOs coordinate with and have oversight of the contractor STI Manager's activities as they pertain to STI to ensure contractor compliance with the CRD portion of DOE O 241.1, *Scientific and Technical Information Management*, including oversight of site contractor STI resources.

- TIOs participate in preparing Operations or Field Office responses to STI-related action items relevant to DOE and contractors.

- TIOs serve as the Operations or Field Office representative and advocate to ensure that STI objectives and requirements are incorporated as appropriate into the Operations or Field Office's strategic plans, DOE management information plans, DOE and contractor information architecture plans, life-cycle management plans and procedures, contractor-developed institutional plans, and contract language for new or modified contracts and grants.

- TIOs are responsible for coordinating and communicating DOE STI goals and objectives and initiating the promotion/education of STI and STIP-related activities at the Operations or Field Office and contractor sites. This includes the progression of timely and acceptable electronic

formats of announcement records and full-text STI.

- TIOs represent their organization's STI objectives/perspective by keeping abreast of the latest technology and trends in coordination with contractors and OSTI and by participating in numerous STI-related activities and meetings such as Meet-Me Calls, Spring and Fall Meetings, STIP activities, and special focus teams. They actively participate in the STIP collaboration to establish best business practices for STIP.

- TIOs ensure that appropriate sensitivity reviews are conducted of the STI generated by DOE and DOE contractors before it is released outside of site jurisdiction.

- TIOs participate in rewrites of DOE O 241.1 and DOE G 241.1-1 and communicate the requirements and best business practices to DOE and DOE contractors.

- TIOs ensure contractor development of an order-compliance self-assessment and are responsible for reviewing and responding to the self-assessment.

- Through STIP, TIOs recommend the need for new or revised policies and comment on the new or revised policies put forth. They also ensure that implementation procedures for the new or revised policies are put in place by DOE and contractors.

- TIOs serve as the Operations or Field Office STIP liaison with DOE Contracts Management staff by assessing the local internal STI program, identifying needs or inadequacies, and communicating changes in STI-related policies and activities. They are responsible for monitoring the direct procurement process (DOE's contractors that are not management and integration/management and operating contractors) by using the Technical Information Monitoring System (TIMS) and ensuring that DOE contract administrators are aware of the status and trends related to the timely provision of deliverables to OSTI.

- TIOs serve as their Operations or Field Office STIP liaison with site Business Management Oversight Program (BMOP) coordinators and the OSTI and HQ BMOP coordinators. They are responsible for developing internal DOE STI performance measures for BMOP and for developing and providing comments to the contractor STI performance measures developed by the contractors for the Program/Technical Reviews. They review, evaluate, and comment on Operations or Field Office and contractor STI program performance as documented in the BMOP and TR self-assessments for the STI Program, including timeliness and quality of deliverables, and respond to OSTI's review of the Operations or Field Office and contractor BMOP or TR self-assessment. They are also responsible for validating DOE/HQ program office's contractor evaluations.

SCIENTIFIC AND TECHNICAL INFORMATION MANAGERS

The role of STI Managers is to stay abreast of DOE's STIP and coordinate the implementation of STIP practices and procedures at their sites. They serve as the main POC between OSTI, TIOs, and their respective contractor-operated facility or national laboratory. Normally one STI Manager is appointed at each contractor site. While roles and responsibilities may vary from site to site, depending on the

specific language of DOE contracts, the STI activities of STI Managers generally are the same.

<u>Roles and Responsibilities</u>

- STI Managers provide oversight and coordination of contractor compliance with the CRD portion of applicable DOE directives, currently DOE O 241.1, *Scientific and Technical Information Management*.

- STI Managers provide oversight and coordination of contractor application of the recommended practices contained in applicable DOE guides, currently DOE G 241.1-1, *Guide to the Management of Scientific and Technical Information*.

- STI Managers participate in conference calls, meetings, and working groups convened by OSTI and TIOs in DOE Operations or Field Offices.

- STI Managers provide general liaison with DOE OSTI management and the TIOs.

- STI Managers participate in preparing contractor responses to STI-related action items received from the responsible DOE contracting officer.

SCIENTIFIC AND TECHNICAL INFORMATION COORDINATING GROUP

The Scientific and Technical Information Coordinating Group (STICG) authorized by DOE O 241.1, assists in the stewardship of STI, a key deliverable of the Department's research and related endeavors.

STICG is chaired by the Director of OSTI, the office that has the lead responsibility for coordinating Departmental STIP. The STICG membership is comprised of Departmental elements (HQ) that fund research and development or related activities that create STI or set policies or practices affecting STI, as well as representatives from one Departmental Operations or Field Office, one contractor weapons complex, one multi-program non-weapons laboratory, and one single-program non-weapons laboratory/facility.

The Group meets three times per year at the request of the chair.

<u>Roles and Responsibilities</u>

- STICG representatives serve as the primary POCs of their respective organizations for STIP and STI policies and practices; they are responsible for coordinating issues within their respective organizations and representing their organizations' views.

- STICG identifies, reviews, analyzes, and makes recommendations on STI-related issues that have Department-wide implications and addresses procedural and implementation issues as needed.

- STICG provides advice and consultation for the Research and Development programs that produce STI in the conduct of their funded activities and for HQ staff offices that have

corporate responsibilities for managing information as a DOE resource.

- STICG provides the vehicle for Departmental policy development and coordination in addition to providing implementation direction and assessment concerning information life-cycle (i.e., creation, processing, dissemination, accessibility, and use) of all STI developed for or on behalf of DOE, including classified, limited, and unclassified information.

- STICG maintains up-to-date knowledge and awareness of similar STI practices and policies by consulting with and/or inviting external speakers from other government agencies, industry, and other stakeholders.

SCIENTIFIC AND TECHNICAL INFORMATION PROGRAM

The Scientific and Technical Information Program (STIP) is comprised of the Department's program managers, researchers, and scientific and technical information professionals who work collaboratively to fulfill DOE's obligation for the timely collection and broad dissemination of the Department's STI. The STIP fundamentally involves the government's responsibility to be accountable for tax dollars spent on R&D and its role in technology awareness and transfer to the domestic and global user community.

Although coordination of STIP is the responsibility of OSTI, the success of the Program depends on the active participation and involvement of each of the STI representatives.

Roles and Responsibilities

STIP is executed through strategic goals and objectives established jointly by the Department's program managers and field elements and implemented in partnership with the contractors who manage DOE facilities. The STIP community members collaboratively establish the Department's STI policy; therefore, they play a major role in the success of the Department's STIP. Their primary responsibility is to:

- Effectively manage the DOE-sponsored STI, therefore ensuring that U.S. citizens are realizing a maximum return on investment

- Ensure that the STI is accessible for contributing to the advancement of science and technology.

OSTI FIELD AND POLICY TEAM

The Field and Policy Team of the Office of Assistant Manager for Program Integration (PI) at OSTI serves as the primary day-to-day interface with the STIP community. This does not, however, preclude STIP members from contacting others within OSTI on specific topics.

Roles and Responsibilities

The Team members normally are involved in activities or discussions concerning:

- STIP collaboration business

- Cross-cutting field issue resolutions

- STI order and guide topics

- Performance objectives and measures

- Research and Development tracking issues

- Copyright and patent questions

- Policy and procedures questions

- Research and Development Visibility Special Interest Group

- STIP special interest groups

- E-Link product management

- Planning and reporting

- Congressional interaction

- Library Operations Working Group

- Headquarters STICG

- Business management oversight process

- Headquarters program or technical reviews

- Formal presentations and papers concerning program mission and objectives.

In many ways, the Field and Policy Team is the STIP members' representative or advocate on internal OSTI projects and issues. Being primarily STIP, or externally, focused allows the Team to maintain the background and knowledge necessary to provide such representation to OSTI management and staff. The development of E-Link within OSTI provides a classic example. The *Field and Policy Team members* constantly represent the decisions, views, and plans of the STIP members to the internal OSTI E-Link developers.