Office of Communications
Reference Series
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HHS/SAMHSA Clearance Manual

Communications Planning and Clearance Process Guidelines

A Life in the Community for Everyone

U.S. DEPARTMENT OF HEALTH AND HUMAN SERVICES
Substance Abuse and Mental Health Services Administration
www.samhsa.gov

Contents

SAMHSA, a public health agency within the U.S. Department of Health and Human Services, is the lead Federal agency for improving the quality and availability of substance abuse prevention, addiction treatment, and mental health services in the United States.

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Part 1 Overview

About This Manual

The processes described in this document reflect the *minimum* required by any U.S. Department of Health and Services (HHS) Operating Division (OpDiv) that intends to develop and disseminate a publication. ***Only the HHS Office of the Assistant Secretary for Public Affairs*** (OASPA) has the Secretary's designated authority to approve communications products—including publications and audiovisual materials—for development and dissemination, whether developed by or under contract with the Substance Abuse and Mental Health Services Administration (SAMHSA), and whether disseminated at the request of SAMHSA or with specific SAMHSA approval through a contract. This includes materials developed through communications contracts, requisition orders, and purchase orders. Publications intended for the World Wide Web are the subject of separate guidance from the SAMHSA Office of Communications (OC).

Office of Communications Reference Series

This clearance guide is one of six policy manuals developed by SAMHSA's Office of Communications (OC) to guide the dissemination of information about all SAMHSA programs and services. These manuals outline how SAMHSA communicates with its constituencies: consumers; families; providers and other health/social services professionals; organizations at the national, State, and local levels; the media; and the general public.

SAMHSA OC's six policy manuals include the following:

- Communications Planning and Clearance Process Guidelines
- Style Guide
- Identity Guide
- Web Policy Guide
- Freedom of Information Act (FOIA) Manual
- Exhibit Manual

Inquiries

If you have questions not addressed in this document, please contact the SAMHSA Office of Communications by calling 240-276-2130. This document is available to view and download from the SAMHSA Intranet at **http://intranet.samhsa.gov**.

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Acronyms

CD/OD:	Center Director/Office Director
ELT:	Executive Leadership Team
GPO:	Government Printing Office
HHS:	U.S. Department of Health and Human Services
OASPA:	Office of the Assistant Secretary for Public Affairs
OC:	Office of Communications (SAMHSA)
OpDiv:	Operating Division of HHS (Agency, office, etc.)
PCMS:	Publications Clearance Management System
PPC:	Publication Planning and Clearance Request (print or audiovisual)

Communications Planning and Clearance

The communications planning and clearance process helps guide how SAMHSA communicates with its constituencies: consumers; families; providers and other health/social services professionals; organizations at the national, State, and local levels; the media; and the general public.

Communications products at SAMHSA must be:

- Consistent with Administration policies and SAMHSA priorities.
- Aligned with the SAMHSA vision of "a life in the community for everyone" and its mission of building resilience and facilitating recovery.
- Based on evidence of need for the product(s) by a particular audience or audiences and their relevance to SAMHSA's matrix of program priorities.
- Included on SAMHSA's Publications Clearance Management System (PCMS), a SAMHSA-wide planning tool, updated monthly by each Center/Office and reviewed by the Executive Leadership Team (ELT).

The majority of SAMHSA's communications products are developed under contract. The process begins with the idea for the communication product(s), often during the development of a statement of work for a contract. The process is complete at the point of publication dissemination. However, distribution, ongoing product awareness, and, ideally, evaluation of the reach, awareness, and utilization of the product(s) should continue.

This manual provides a common grounding in the communications planning and clearance process for all SAMHSA employees. It is designed to help program staff—

- Conceptualize, develop, and disseminate focused, Agency-relevant products that best reach an identified target audience with the kinds of materials they both need and will use.
- Better coordinate their work with that of others across SAMHSA Centers/Offices to avoid duplication of effort.
- Secure Center/Office "buy-in" on proposed products (including contracts to help develop and disseminate those products).
- Know what language to include in communications-related contracts to help ensure that you get the products from your contractor that you want in a form both targeted to your audience(s) and appropriate for Federal publication.
- Prepare concise, well-written, responsive, and well-conceptualized publication/audiovisual planning and clearance materials for approval through the Departmental communications planning and clearance process.
- Ensure that the funds obligated for communication-related contract clauses result in products (including education and awareness initiatives) that are focused, of high quality, appropriate to the target audience(s), well marketed, and, ideally, evaluated for reach, awareness, and utilization by the target audience(s).

Why Planning Communications Products is a Good Idea

Communications products are needed for many reasons—to publicize new programs, to disseminate policies, to explain new procedures, to inform and educate the public, or to update previously published materials. The idea for the product may result from a legal requirement or mandate imposed by a higher organizational level, be inherited from someone else in the Agency, or be the program officer's own. As are most Federal activities, Government communications products are governed by laws, regulations, and policies intended to save Federal funds and minimize waste and duplication of effort. Major time and dollar savings can be accomplished through effective and thorough planning. These savings can be realized not only during the production of a publication, but also throughout the publication's life-cycle, especially if the publication remains usable for a certain period and few revisions are required after publication.

SAMHSA's Publications Clearance Management System (PCMS)

A *publication plan* is a useful tool to ensure an orderly flow of publications through SAMHSA while enhancing quality control and reducing production time. Planning helps set priorities for publication products by mission importance, impact, costs and benefits, and scheduling concerns.

SAMHSA's publication plan is found in its regularly updated, dynamic *Publications Clearance Management System*, which includes products proposed by program staff and approved by Center/Office Directors and the SAMHSA Office of Communication (OC) for development.

Formal Planning and Clearance Requirements That Must Be Met

[These are presented in the order in which they logically follow. Copies of all relevant forms are in Appendix A]

- Development of Communications Contract Clearance (Form HHS-524)—used to review and clear a proposal for a communications contract.
- PCMS—used to track Center/Office-approved product ideas through the clearance process.
- Request for Requisition/Purchase Order—a statement by program staff accompanying any requisitions/purchase orders that include development and dissemination of communications products. It assures that OASPA-mandated product planning and clearance processes will be followed and that clearances are received before publication.
- Publication/Audiovisual Planning and Clearance Request (Forms HHS-615 /524a)—used by SAMHSA and OASPA to review and clear a *proposal* for a print or audiovisual product or family of products. This can be accepted, accepted with conditions (e.g., review by other OpDivs, color restrictions), returned for further clarification, or rejected by OASPA. Remember, only OASPA has the authority to approve products for publication.
- Request for Clearance of Manuscript or Other Communication (Form SMA-120)—used by program staff to request that SAMHSA OC review and clear a manuscript, storyboard, script, or audiovisual product.
- Printing and Visual Services Authorization (Form HHS-26)—used to request printing through the Program Support Center (PSC).

Checklist 1: Beginning the Process—Questions to Consider In Communications Planning

There's an old saying, "A problem well defined is half solved." Communications products that are well researched and thought out are well on the way to approval through the formal publication planning and clearance process at the Center/Office, SAMHSA OC, and HHS. The following checklist of questions can help guide the development of a thoughtful, responsive publication plan.

- √ ***Is the product needed and how do you know?*** What is its relationship to the SAMHSA matrix of priority programs? Does it conflict or duplicate existing materials or materials in development elsewhere at SAMHSA? Can existing material be updated or merged in lieu of creating a new publication? Is it mandated by statute or report language?
- √ ***Who is the audience for the product?*** How large is the audience? At what educational level should the publication be targeted? Are intended readers a "captive" audience, or must they be enticed into reading the publication? Is there a need for field-testing or review to ensure the product will reach the intended audience? Should the product be adapted for those with limited English proficiency, for the blind, etc.?
- √ ***What is the product's function?*** Under what circumstances will it be used?
- √ ***What medium or media will be used for the product?*** A full-length book, pamphlet, monograph, periodical? Will access be available through CD, the Internet, slides, audiotape or videotape? Is the product required only one time or on a recurring basis?
- √ ***Will the tone of the publication be formal or informal?*** Does the design need to be attention-getting (e.g., consumer product) or strictly functional (e.g., provider product)?
- √ ***What depth of material will be needed****?* How long must the product be to cover the material adequately? How can the materials be subdivided or packaged in different ways to be used most effectively by the target audience?
- √ ***How much research will be required to develop the product and from what sources will that research come?***
- √ ***What review must the products have to ensure accuracy, literacy, and appropriateness for the audience?***
- √ ***How will the intended audience be made aware of the product?***
- √ ***What distribution is planned and how will it be accomplished?***
- √ ***Will the reach, awareness, and utilization of the product be assessed, and if so, how****?*

Part 2 Responsibilities in the Communications Planning and Clearance Process

Program Staff

- Conceptualize proposed communications products based on SAMHSA's mission and priorities.
- Adhere to the communications planning and clearance process, including inclusion of proposed product(s) on the PCMS and relevant HHS communications contract and product clearance requirements, whether the product is developed in-house or by contractor.
- Oversee communications contracts, procurements, and purchase orders to ensure high quality, timeliness, cost-efficiency, and appropriateness.
- Meet OASPA conditions of clearance; assess product quality, reach, and awareness utility.

Center/Office Directors

- Ensure Center/Office compliance with the communications planning and clearance process, including the PCMS, OASPA requirements, and concept and content approval.
- Designate individual as primary Center/Office publication coordinator.

Center/Office Publication Coordinator

- Enter name of product and initial data into PCMS
- Attend meetings of center publication coordinators

SAMHSA Office of Communications

- Accountable to Administrator and OASPA for SAMHSA adherence to communications planning and clearance process for products on the PCMS.
- Review/approval of all proposed contracts/requisitions/purchase orders with proposed communications products.
- Timely review of communications planning and clearance materials, and products.
- Staff training/education about communications planning and clearance process; technical assistance to program staff.

SAMHSA Administrator

- Final decisions about SAMHSA communication products and initiatives.

Office of the Assistant Secretary for Public Affairs

- Timely review and approval/disapproval of communications proposed for development and dissemination as the Secretary's sole designated authority for this purpose.

Part 3 Products That Require Communications Planning and Clearance

> ***A publication is "an item of printed [or audiovisual] information…carrying the Department's name as the publisher or in which the Department has a proprietary interest, whether written or published in the Department or outside, regardless of how financed."***
>
> **(HHS Public Affairs Management Manual)**

These include any publications and audiovisuals, as well as products printed (or duplicated) by print contractors or by desktop means, *of which 50 or more copies are to be distributed outside of HHS. This applies to publications to the Congress and other Federal, State and local branches of Government, as well as to contractors, grantees, and intermediaries.* This includes contract deliverable documents to be distributed beyond SAMHSA.

Print

- New publications
- Revised publications
- Reports
- Newsletters
- Periodicals
- Posters
- Toolkits
- Training manuals
- Circulars
- Books
- Pamphlets
- Fact sheets
- CDs of print products (e.g., slides, manuals)
- Manuals
- Brochures
- Print ads
- Specialty items (buttons, tee shirts, magnets, decals, etc.)
- Print public service announcements (PSAs)
- Coloring books
- Bookmarks
- Monographs
- Issue briefs
- Games
- Information packets
- Slide shows (PowerPoint)

Audiovisual

- Motion pictures
- Filmstrips
- TV PSAs
- Radio PSAs
- Open-circuit video productions
- Multimedia presentations
- Training films
- Compact disks (audio/video/electronic)
- Audiocassettes
- Other AV advertising
- Programs for broadcast on TV and radio
- Videotapes
- Satellite broadcasts
- Digital video discs (DVDs)

IN ADDITION, THE FOLLOWING REQUIRE CONTRACT CLEARANCE FROM SAMHSA'S OFFICE OF COMMUNICATIONS (if the total cost from conceptualization through realization exceeds $5,000).

- Public education initiatives
- Professional training/education initiatives
- Media campaigns
- Public awareness initiatives
- MDMS contracts and other publication development contracts
- Evaluations related to communications activities/programs
- Communications research/implementation
- IDIQ contracts that include publication/communication components
- Clearinghouses and public inquiry operations
- Clipping services

Products Not Necessarily Requiring Use of Formal Planning and Clearance Process

- Products developed by SAMHSA (or by SAMHSA contractors) intended *solely for internal SAMHSA use and are not released outside the Agency.*
- Any other product developed by SAMHSA (or by SAMHSA contractors) *of which not more than 50 copies are to be distributed outside of HHS.* [**NOTE:** This is not part of the *HHS Publication Manual*; it was in a 1995 memo from the former ASPA. It is subject to revocation at will.]
- *Materials developed and produced by grantees.* If the proposed product is a journal article, SAMHSA requests that the grantees 1) acknowledge SAMHSA's financial support; and 2) permit SAMHSA the opportunity to consider announcing the publication of the journal article via press release.
- *Materials published by SAMHSA staff in peer-reviewed journals,* unless SAMHSA has purchased space in the journal (e.g. "Special Section" or "Special Edition" of journal.
- *Speeches*
- SAMHSA or contracted *audiovisual products developed/produced/placed for under $5,000 total cost.*
- *News releases* (Subject to a different kind of clearance through OC and OASPA).
- *Employee memos.*
- *Reprints previously cleared through the Communications Planning and Clearance Process being re-printed with NO content changes.* [**NOTE:** This exclusion from clearance is not included in the *HHS Publication Manual*. Review of reprints was excluded from clearance requirements in a 1995 memo from the former Assistant Secretary for Public Affairs (ASPA). It is subject to revocation at will.]
- *Other items* excepted from the process in writing by the HHS OASPA.

NOTE: These lists are not all-inclusive; if in doubt, please contact the SAMHSA OC.

Part 4 Steps in HHS Communications Clearance

These *general* steps describe the process for clearance of communications products/initiatives.

Step 1—Initiate Plan

Begin the plan to develop and disseminate one or more print/audiovisual products (or a communications initiative, such as a public education or awareness activity) and get "buy in" from your Center/Office. Consider bringing an idea to the SAMHSA Office of Communications to obtain advice regarding coordination/collaborations and avoid potential duplications. Use Checklist 1 "Beginning the Process Checklist" to assist in the planning process. [*NOTE: If the product (including education campaigns and initiatives) will be developed under an existing contract that includes publication/public affairs services, the plan for that contract (or the relevant section(s) thereof) must have been or must be approved through SAMHSA.]*

Step 2—Get Approval from Center/Office and Get Proposed Products onto PCMS

Seek and receive approval by your Center/Office Director and ensure that the approval is followed by inclusion of the product ideas on the PCMS.

Step 3—Develop Contract/Requisition/Purchase Order (and 524 if needed)

With Center/Office approval and inclusion of your product ideas on the PCMS, ensure that communications elements of existing contract are in place, or write and get modifications approved. Alternatively, develop a new contract containing communications provisions relevant to the product elements. Use Checklist 2 "Public Affairs Service Contract Checklist" to help in the planning process. Get approval of contract elements through Center/Office and the OC. Sign and submit a memo acknowledging that *no* deliverables will be developed or distributed to audiences outside the Federal Government without OASPA planning and clearance approval and SAMHSA approval of proposed content. *[NOTE: As you develop the contract, remember that all printing must be done by or through the Government Printing Office.]*

Step 4—Develop Materials Required for HHS Communications Planning and Clearance Package (HHS-615/524A)

Following approval of the contract and, if possible, in advance of its award, develop the HHS-required communications planning and clearance package, Form HHS-615 (clearance for print materials) and/or Form HHS-524A (clearance for audiovisual materials). Use Checklist 3 "Publication/Audiovisual Planning and Clearance" and "How to Complete Forms 615/524A" to help in the process.

Step 5—Seek SAMHSA/Departmental Approval of Planning and Clearance Materials

Submit planning and clearance package (HHS-615/524A) through your Center/Office for review and approval/disapproval. Planning and clearance packages approved by the Center/Office Director are forwarded to the SAMHSA OC for review and approval/return for further development/disapproval. A well-conceived product included on the PCMS should move forward rapidly to OASPA.

Step 6—Initiate Product Development

Product development begins after receiving OASPA approval. That approval is forwarded through the OC in the form of a memorandum, most often from the HHS Deputy Assistant Secretary for Public Affairs. The memo may place conditions on the clearance (e.g., review of manuscript by other OpDivs or by OASPA, paper and color limitations, logo requirements). As appropriate, seek experts within or outside the Government to review products during development. As appropriate, consider the use of field or focus group review. These steps can help ensure unified, accurate, and appropriate messages; they also can help identify potential partners in product development and dissemination.

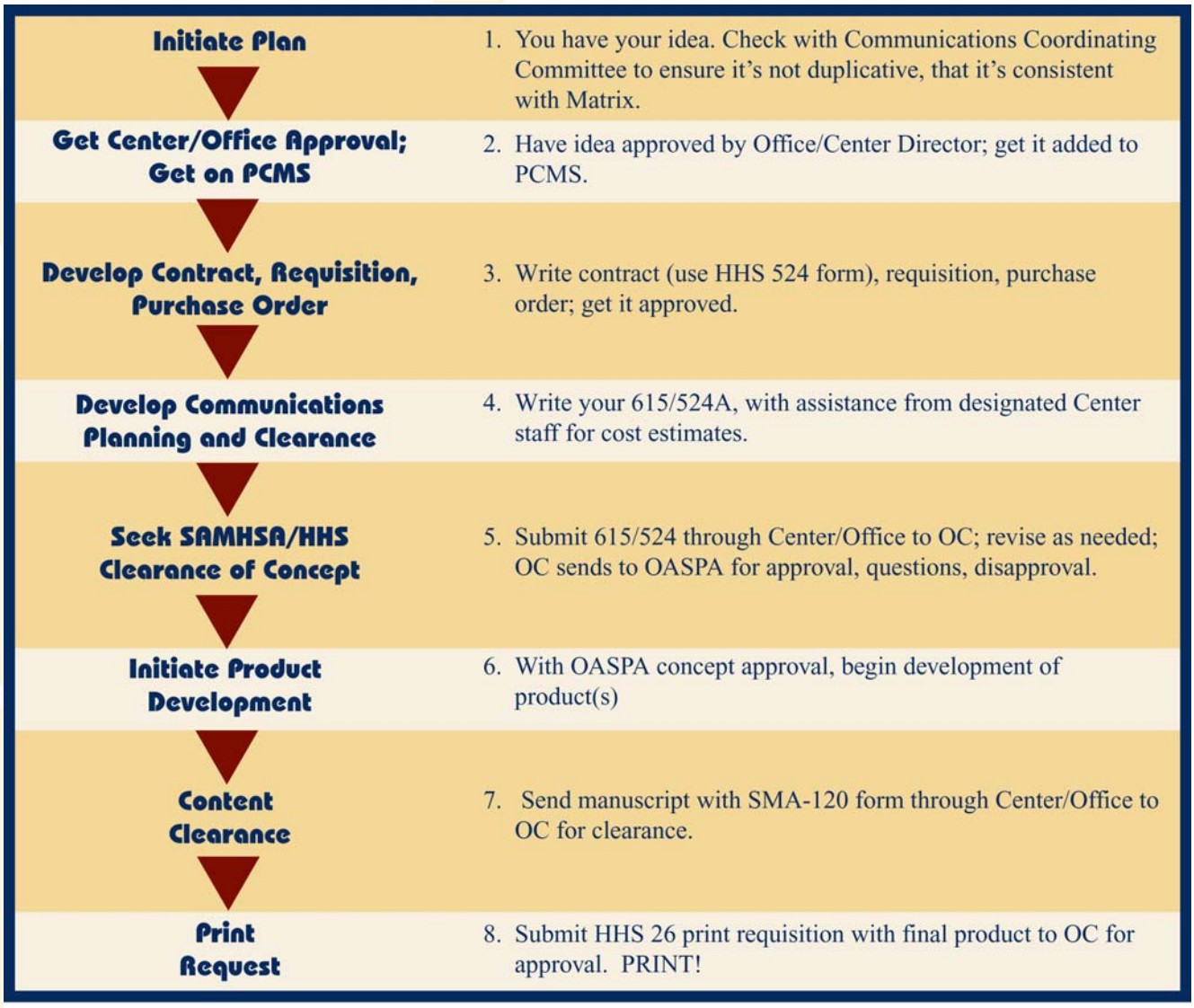
Step 7—Content Clearance

Every communications product must be reviewed and cleared for content by the Center/Office director and by the SAMHSA OC. Your content clearance package should include the manuscript, the SMA-120, and copies of the HHS-615/524A and the OASPA memorandum of approval. Checklist 4, "Manuscript and Audiovisual Content Clearance" can help. With Center/Office Director clearance, the package is forwarded to the OC for final review/approval. The OC will review from policy and editorial perspectives and recommend edits/revisions as warranted. Upon receipt of the final draft products, the OC will forward them to other HHS OpDivs for review if required by OASPA as a condition of concept clearance. When all conditions are met, the OC will approve the materials for production (printing). On occasion, a few conditions will accompany a signed, approved product. Those conditions must be met before final printing.

Step 8—Print Request

When the product is ready for printing, use Form HHS-26 to delineate print job. The print product package requires SAMHSA OC approval before it is forwarded to the GPO or a GPO-authorized printer (often through PSC). When printing is complete, the OC requests that five copies be forwarded to its offices. [In some cases, particularly newsworthy products may be identified as subjects for press releases or other promotional efforts by SAMHSA. In these instances, the OC will need to be alerted BEFORE the product is available for dissemination.]

Figure 1: A Map of the Communications Planning and Clearance Process



Part 5 Contracting-Related Communications Requirements

Most of SAMHSA's publications are developed under contract. SAMHSA's largest contracts, over $100,000, generally are awarded through the Contracts Management Branch in the Office of Program Services.

Some of these contracts are wholly related to public affairs services; they require the use of a form (HHS-524). Others contain some elements related to print/audiovisual/Web product development but are not wholly related to public affairs services; they do not require the use of the HHS-524. However, they do require a Request for Contract/Requisition/Purchase Order Statement). Professional services contracts, $100,000 and under, are awarded through the Division of Acquisition Management in the PSC. Professional services contracts often are awarded with the specific purpose of developing a particular print product or products; therefore they, too, require a Request for Contract/Requisition/Purchase Order Statement.

Under all circumstances, the project officer should ensure that concept clearance and other commensurate approval are obtained from the OC prior to authorizing contract work on any specific product.

Specific forms, memoranda, and contract language are required while developing contracts with communications elements:

- *Public Affairs Service Contract Clearance* (Form HHS-524).
- *Request for Contract/Requisition/Purchase Order Statement* (memorandum).
- Standard language for inclusion in all contracts that include development of communications products.

These elements are discussed, in turn, in this section, which also answers questions about these forms, memoranda, and language; checklists of the process surrounding each form; and graphic depictions of the decision cycles.

Public Affairs Service Contract Clearance (Form HHS-524)

What is the form and when is it used?

This HHS form accompanies all *public affairs service contracts* (including campaigns/initiatives) submitted for SAMHSA/HHS approval, including public education or media campaigns/initiatives; clearinghouses/public inquiry operations; audiovisual products; communications consulting, polls planning, research and strategy, surveys and evaluations; clipping services; and exhibits.

Where can I find the HHS-524 form?

This form is available on the SAMHSA Intranet at **http://intranet.samhsa.gov/Formflow/SAMHSAForms.aspx.** It is in a PDF form that you can fill out online and print.

Who approves this form?
SAMHSA OC approves the form that accompanies your proposed communications contract through the approval process before it can be posted as an RFP.

Is there anything special I need to know about filling out this form?
This form is self-explanatory. See Checklist 2 for the steps in public affairs service contract clearance.

NOTE: Departmental clearance is still required for all products developed under such contracts.

Checklist 2: Public Affairs Service Contracts

- √ Write Statement of Work (SOW)—Develop a detailed description of the product for the Request for Contract (RFC). Double-check that you have completed the Contract Clearance Checklist to be sure about which SAMHSA and other offices need to review the contract.
- √ Ensure that you included in the contract the relevant language regarding concept clearance, editor/writer as key personnel, and manuscript quality, as detailed on page- 18.
- √ Get approval from your CD/OD and ensure that the planned communications materials are included on the PCMS.
- √ Contract Clearance (Form HHS-524)—Initiative HHS-524. You will need the SOW, the form signed by authorizing contract officer, complete justification, and verification that the activity is included in the PCMS.
- √ Have you completed the HHS-524 and attached detailed justification?
- √ Did you attach the SOW?
- √ Did you get authorizing contract officer's signature on the HHS-524?
- √ Did you attach special justification for non-competitive contract, if needed?
- √ Did you include the special language regarding concept clearance,~~;~~ writer/editor~~;~~, and manuscript quality?
- √ Undertake Procurement—Advertise and let the contract.
- √ Clearance of Proposed Products—If publications/audiovisual materials are developed under the contract (including initiatives/campaigns), initiate development and approval process for OASPA communications planning and clearance process, using HHS-615/524A packages. *Clearance must be complete and approved before work is started.*
- √ Initiate Product Development.

Other Contracts/Requisitions/Purchase Orders with Communications Components

Other contractual relationships may contain communication-related deliverables—whether print, Web-based, or audiovisual. Deliverables under these contracts must be approved by the CD/OD and included on the PCMS. Further, they are subject to HHS communications planning and clearance requirements.

All contracts/requisitions/purchase orders that include the development and dissemination of communication products must be reviewed and approved by the SAMHSA OC. Government Project Officers are obligated to check the boxes on the Contract Clearance Checklist (a form used by the contracts office) related to audiovisual/public affairs services (item 3), printing (item 9), and authorship (item 23).

Contracts/requisitions/purchase orders with communications elements *must contain a signed statement from the program staff indicating that before deliverables are developed and disseminated to audiences outside SAMHSA, appropriate communications planning and clearance will occur* (e.g. completion of Publication/Audiovisual Planning and Clearance Requests (Forms HHS-615/524A). The Associate Administrator for Communications must agree to/concur in the statement. Work on any such products may NOT occur until concept clearance is received from OASPA.

Sample 1: Request for Clearance of Contract/Purchase Order/Requisition of Communications Product(s)

Memorandum To: Contract Officer

Date:

Subject: Request for Public Affairs Clearance Approval

FROM: [Project Officer, Division, Office/Center]

REF: RFC or Contract/Purchase Order/Requisition # and Title

A RFC/Contract/Purchase Order/Requisition/Task Order is being developed to procure services that involve the development of communications materials and/or media, curricula, and educational campaigns.

The Branch in the Division of _____ of the _____[Center/Office] understands that before deliverables are developed and produced for distribution to audiences outside the Federal Government, appropriate publication planning and clearance forms will be developed and submitted through the Center/Office and SAMHSA's Office of Communications to the Office of the Assistant Secretary for Public Affairs (OASPA) for review and approval. The OASPA is the only organizational unit in the U.S. Department of Health and Human Services that has the Secretary's delegated authority to approve communication products, including the publication and dissemination of materials developed through a requisition, contract, or purchase order.

All relevant publication planning and clearance forms and collateral materials will be developed and submitted to OASPA through the Office of Communications, SAMHSA.

At this time we are requesting concurrence from the SAMHSA Office of Communications to move this RFC/Contract/Purchase Order/Requisition containing communications products forward.

Concur:_____ _____

Associate Administrator for Communications Date

Do Not Concur:_____ _____

Associate Administrator for Communications Date

Standard Language for Contracts that Include Communications Product(s)

Specialized language has been developed for inclusion in any contract that will yield any communication product or products as defined in Part 3 of this document. It relates to three key issues: a) concept clearance; b) writer/editor as key personnel; and c) manuscript quality.

Concept Clearance Standard Language

"The contractor shall not expend funds on the development of any specific communications product until the SAMHSA Office of Communications has received concept clearance (with or without special conditions) for the product from the HHS Office of the Assistant Secretary for Public Affairs. For this purpose, a communications product is defined as an item of printed or audiovisual information carrying the Department's name as the publisher or in which the Department has a proprietary interest, whether written or published in the Department or outside, regardless of how it is financed.

"A publication or audiovisual product requires clearance through SAMHSA OC and OASPA if 50 or more copies are to be distributed outside of HHS, or if it will be posted on a Web site available outside of HHS. This applies to communications products distributed to: Congress; other Federal, State, and local branches of government; contractors; grantees; the public or other constituencies; and intermediaries. It includes products printed or duplicated by contractors or by desktop means. Communications products include, but are not limited to: books, booklets, brochures/pamphlets, reports, newsletters electronic/Web, videos, CD-ROMs, and audiotapes."

Writer/Editor Standard Language

"Products being developed under this contract for potential dissemination by or on behalf of SAMHSA must be developed and/or reviewed by a senior writer/editor who has been identified among the key personnel for this project. That individual must be able to provide the necessary expertise for appropriate and accurate content and editorial review needed to achieve a high standard of excellence in content, syntax, grammar, and style, including attention to the match between target audience and content level."

Manuscript/Galley Standard Language

"Products developed under this contract for potential dissemination by or on behalf of SAMHSA should—(i) reflect consistent use of a style manual (preferably *GPO*, although other manuals may be selected and used with reason); (ii) adhere to common standards of grammar and usage; and (iii) include correct form and content in use of logos, content and look of cover, title page, acknowledgement, and disclaimers as determined by SAMHSA's Office of Communications and the HHS Office of the Assistant Secretary for Public Affairs."

Part 6 Concept Clearance Requirements

What are these forms?

These two HHS forms provide OC and OASPA detailed *proposals* for publications (Form HHS-615) or audiovisual product (Form HHS-524A). The content of these forms and the justifications that accompany them form the basis for OASPA approval or disapproval of proposed products. A listing of the kinds of products covered by these two planning and clearance requests is found in Part 3 of this manual.

NOTE: Departmental clearance using forms HHS-615 and 524A does not constitute content clearance. Content clearance by OC is required separately. Unless specified by OASPA, content clearance does not require approval beyond SAMHSA OC.

What products require form HHS-615 or 524A Departmental clearance?

All publications and audiovisuals, as well as products printed (or duplicated) by print contractors or by desktop means, of which 50 or more copies are to be distributed outside of HHS, are subject to the HHS communications planning and clearance process. This applies equally to publications for the Congress and other Federal, State and local branches of Government, as well as for contractors, grantees, and intermediaries. It also includes contract deliverable documents that are to be distributed beyond SAMHSA. A list of the kinds of products requiring OASPA planning and clearance approval is found on pages 8-9. CDs and DVDs containing print materials are considered to be "print products" requiring an HHS-615. A CD or DVD with video or audio is considered to be an audiovisual product, requiring an HHS-524A. PowerPoint slide-shows are considered print products.

When should I start the HHS-615 or 524A Department clearance process?

Ideally, these forms should be prepared and submitted when the idea for a product has been approved and included on the PCMS. Most often, that will occur around the same time your product contract/procurement/requisition is approved for development. Checklist 1, on page 6, can help guide thinking about the nature, scope, size, and audience for the product or products.

Do I have to complete a separate form for every single product?

No. You may group products within a single HHS-615 or 524A if they are part of a single set of coordinated materials (e.g., TIPs that are accompanied by Quick Guides, KAP Keys, curricula and consumer brochures; a "toolkit" or other family of materials). You also may group products that are related to a single communications initiative (e.g., Recovery Month, Too Smart To Start). However, you must detail the costs and specifications separately for each product included in the single HHS-615 or HHS-524A. If your initiative or set of materials includes *both* print and audiovisual products, the forms should be submitted together.

How long can I expect this part of the clearance process to take?

The process needs to be broken down into its separate parts:
Center/Office……..The duration is up to the Center/Office
OC……..A high-quality product can be cleared through OC within 2 weeks. Check with the OC publications manager if it is taking longer. Other products will take longer due to revisions.

OASPA…….. Variable. However, SAMHSA OC checks with OASPA regularly to assess the status of products transmitted to OASPA. Well-conceptualized, responsive clearance justifications tend to move more rapidly.

Where can I find these forms?

These forms, and the Departmental instructions for their completion, are available on the SAMHSA Intranet at **http://intranet.samhsa.gov/Formflow/SAMHSAForms.aspx.** They are PDF forms that you can fill out online and print.

I want to develop a newsletter/journal-like publication that is published regularly. Is there anything special I need to do?

Yes, assuming the product is included on the PCMS, the HHS-615 prepared for this proposed product must include a certification [to be signed by the SAMHSA Administrator] that reads:

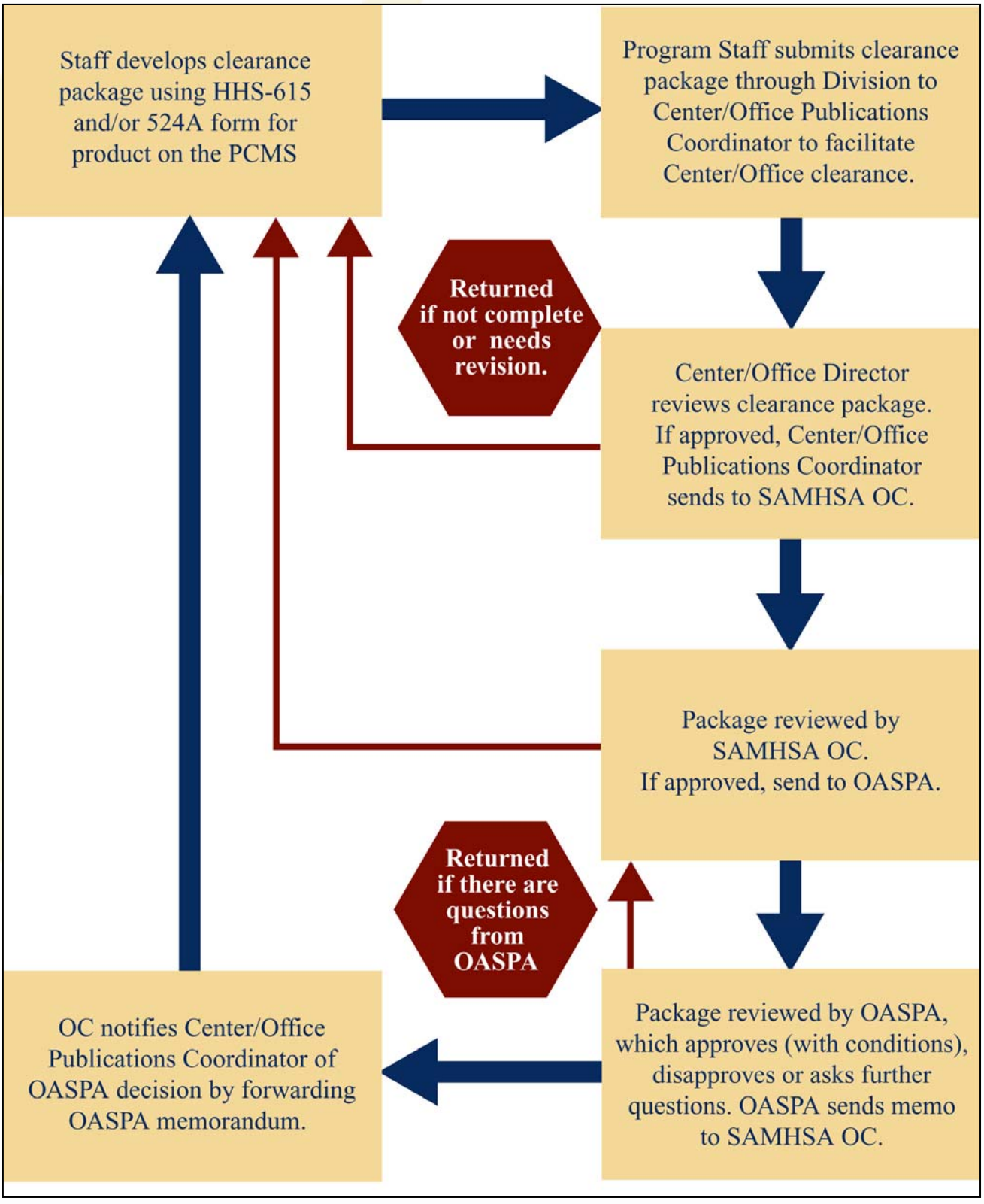
"I certify that [fill in name of proposed product] is unquestionably necessary in the conduct of the public business as required by law of SAMHSA, and that all mailing lists used in its distribution have been purged within the last 12 months. I further certify that [fill in name of proposed product] will carry no advertising, nor shall its content be such that it might be perceived as being political or aggrandizing in nature. It will not even remotely infer or imply that the Government favors or endorses any individual, organization, or private sector service or product. And it will not advocate or publish positions on matters which may be the subject of pending legislation."

Checklist 3: Publications/Audiovisual Planning and Clearance

- √ Program staff develop product ideas, consult with field to identify needs, and look for similar products to see whether a product is justified. Check with SAMHSA's Office of Communications about potential duplication/overlap. Get advice on message, production, design options, costs, promotion, and dissemination.
- √ Program Office brings idea to CD/OD for Center/Office approval and for inclusion on PCMS.
- √ If idea is approved by CD/OD, program staff prepare HHS-615 and/or 524A.
- √ HHS-615/524A approved by Program Office is given to Center/Office Publications Coordinator.
- √ Center/Office Publications Coordinator designates tracking number and dates form(s).
- √ Center/Office Publications Coordinator obtains relevant approvals up through Center/Office Director. Time-frame and/or use of secondary reviews are at the discretion of CD/OD.
- √ HHS-615/524A signed by CD/OD is submitted to SAMHSA OC.
- √ OC date stamps and enters HHS-615/524A into OC product -tracking system.
- √ OC Marketing Specialist reviews the products and makes recommendation to Associate Administrator for Communications to approve, return for edits, or disapprove.
- √ Associate Administrator for Communications approves, returns, or disapproves HHS-615/524A. Proposals that need more work are returned for revisions. Well-prepared, complete proposals most often are reviewed and approved within 2 weeks. If disapproved, the HHS-615/524A package will be returned with explanation. Centers/Offices may appeal.
- √ If approved, HHS-615/524A is signed and forwarded to the OASPA with recommendation for approval. Date of approval will be noted in the OC product -tracking system.

- √ OASPA Communications Products Manager reviews HHS-615/524A for Assistant Secretary for Public Affairs, recommending approval/disapproval. On occasion, additional OASPA questions may be sent to OC for clarification by SAMHSA program staff.
- √ OASPA approves, approves with conditions, or disapproves. Disapproved products are returned to OC with explanation. Disapprovals may be appealed. If approved, memo (including any *mandatory* conditions of approval) is returned to OC. OC forwards memo to appropriate Center/Office Publications Coordinator.
- √ Work on products may begin.

Figure 2: A Walk Through the HHS-615/524A Clearance Process



Completing the HHS-615 Publications Planning and Clearance Form

The HHS-615 is a Departmental form provided for detailing a ***proposal*** for a publication. The HHS-615 Form is available on the SAMHSA Intranet at **http://intranet.samhsa.gov/Formflow/SAMHSAForms.aspx.** It is in a PDF form that you can fill out online and print.

Before preparing the HHS-615/524A, the Project Officer already should have conceptualized a) justifications for developing the products—required to be placed on the PCMS; b) distribution and dissemination plans; c) marketing and promotion plans; d) printing specifications; and e) estimated development, production, printing and mailing costs.

Overview of Items To Be Completed on Form HHS-615

Items 1-2: Title; Administrative Information

- Item 1—Choose the shortest title that accurately describes your product. Keep in mind how the words will look on the publication cover. Short, punchy titles that stay in the reader's memory are best.
- Item 2—Fill out the administrative information completely; include both the name and telephone number of program staff and of the Center/Office Publications Coordinator

Item 3: Category of Publication

- Item 3a—Choose the category that most accurately describes your products. Contact SAMHSA OC for any questions regarding how best to describe your product.
- Item 3b—The HHS-615 is required for all *new* or *revised* publications; reprints with no content changes are *not* subject to the Communications Planning and Clearance Process. A revision is any re-publication of a product *with content changes*.
- Item 3c—Check "*single issuance*" unless the product is a periodical or newsletter; identify annual frequency of that periodical or newsletter and the number expected in any one fiscal year.
- Item 3d—Check *"No"* unless the *product* being developed is mandated by law (e.g., mandated report to Congress).

Item 4: Target Audiences

- "Audiences" are the people you want to reach and influence with information and messages. By narrowing the publication's target audience, you can develop and provide a more relevant and useful publication and disseminate it in the most cost-effective manner. The "general public" is an acceptable description of an audience only on rare occasions.
- Both a primary and a secondary audience should be identified and substantiated throughout the HHS-615. If other audiences are identified in addition to the primary and secondary audiences, the HHS-615 should substantiate them as well.

Item 5: Translation

- SAMHSA prefers *adaptations* to translations. If you intend to adapt the proposed products into languages other than English, check "*Yes*" and specify the languages.

Item 6: Distribution Methods

- Distribution methods (or "channels") describe how the product will be delivered to the intended audience. Direct distribution channels include mail, electronic, meetings, exhibits, publications racks, etc. Indirect distribution uses an intermediary to reaching the targeted audience (e.g., journal publication, distribution by State substance abuse/mental health Agencies, behavioral health care companies.
- The more precisely the audience is defined, the more precisely a distribution method can be identified and successfully used to reach the intended audience.
- If you have more than one product in the HHS-615, consider whether separate distribution plans are needed for each.)
- The distribution method should have a clear rationale and should be consistent with the type of publication.
- A "Distribution Plan" should be attached to the HHS-615

Item 7: GPO Sales

- Self-explanatory.

Item 8: Specifications/Number of Copies

This is a physical description of the proposed products.

- Item 8a—*Number of copies and* pages: The quantity should be based on the number of people in the target audience and expected reach. Review the demand for similar or previous editions of the publication to project the number of copies needed. If the publication is so new and innovative that no present market for a publication can be used as a guide, conduct a needs analysis to determine the quantity needed to meet the target audience's expected demand. While the HHS-615 does not require a rationale for the number of copies proposed, the "Distribution Plan" attached to the HHS-615 should be consistent with the number of copies proposed for publication. When calculating the length of the product, a good rule of thumb is that two pages of manuscript equal one printed page on standard 8 1/2" x 11" paper.
- Items 8b and 8c—Self-explanatory.
- Item 8d—Heavier stock is used for products with separate covers; coated stock is not used for text pages. The longer the anticipated shelf life of the product, the greater justification for coated stock covers and heavier text pages.
- Item 8e—*Ink colors*: Please see discussion of ink colors under Part 10, FAQs. The Congressional Printing and Binding Regulations are specific on this topic.
- Items 8e–8g—Self-explanatory.
- Item 8h—*Mailing:* Seek assistance from your Center/Office Publications Coordinator and/or PSC.

NOTE: If the HHS-625/524A is for more than one product, please note "See Attachment B" and provide separate one-page listing of specifications for each document. This also should include information related to Item 12, Production Costs. For assistance, contact your Center/Office Publication Coordinator.

Item 9: Justification

- This section provides justification for the proposed development and dissemination of the product(s) in the HHS-615. In response to this item, write an attachment that responds to specific questions delineated on the instruction sheet that is part of the HHS-615.

Item 10: Proposed Publication Date

- Do not specify month, only fiscal year, for proposed publication dates; be realistic about the timeline.
- If item will not be published until a subsequent fiscal year, please state "FY20XX, pending funding availability."

Item 11: Fiscal year to which cost is charged and appropriation code

- If costs will be charged in a fiscal year for which appropriations are not yet available, please state "FY 20XX, pending funding availability."

Item 12: Production Costs

- If a product has been written in-house, estimate costs of staff time and list on first line under " in-house."
- Be sure to specify all parts of the production costs FOR EACH PRODUCT in the subject HHS-615/524A. Failure to do so has caused delays at OASPA.

Item 13: Contract Justification

- If these products relate to a public affairs services contract, append the approved RFC and SOW.

Item 14: Approvals

- Self-explanatory.

Details for Writing Answers to Item 9—Justification for the Proposed Product(s)

***Background**:* While not required, a brief background section describing the genesis of the concept can place the proposed product(s) into context for the reviewer.

9a. ***Statement of Purpose:*** Begin with "the Substance Abuse and Mental Health Services Administration (SAMHSA's) [Center/Office] proposes to develop and disseminate [name the product(s)] for [name audience(s)…." Keeping the audience in mind, describe the ultimate purpose of the product. For what purpose is it being proposed for the target audience (e.g., raise awareness, educate, change practices, take action)? [For example, "SAMHSA's Office of Communications proposes to develop and disseminate a backgrounder for SAMHSA's professional and lay constituencies that educates them about the Agency's matrix of priority programs, its mission, and the vision for the Agency."] Purpose will be different for different type of publications. If multiple products are included, describe each using brief bulleted items including specificity of target audience and ultimate purpose of product.

9b. ***Evidence of Need:*** Be sure to delineate the evidence of need; do not just *state* the fact that there is a need. Do not assume that you know what a potential audience wants or that no comparable products exist from other public/private organizations. Do the research. Clearly make the case that the proposed publication is "essential," not just "desirable" or "needed."

Cite the sources that informed you that you *need* to produce *this* publication (e.g., findings from a conference, meeting, steering committee, expert panel, focus group, etc.). Cite the reasons that they give for wanting this publication.

9c. ***Clear Statement of Utility:*** This answers the question about what the intended recipient will do with the product once in hand, and the action/reaction expected once the product is read or used. You also should explain why a particular "Category of Publication" is selected, how this format will be used by the intended audience, and why it is a useful way of transmitting the information.

NOTE: For consumer-oriented products in which added color is being requested, consider adding a statement, such as "The product utilizes _____ ink colors to make the document more effective, easily readable, and easier to navigate for the lay audience. Many individuals with substance abuse or serious mental disorders have difficulty navigating publications; they have similar issues as do individuals with low literacy. For these audiences, multiple colors/an accent color [choose whichever is relevant] can provide important benefits to assist in navigation and ease of reading. Research has shown that use of _____ colors can help consumers and other lay audiences use printed materials more effectively and recognize important information."

9d. ***Publication Supports a Mandatory Program, Departmental Initiative, or Public Law:*** Most SAMHSA products can be justified by citing specific language in Title V of the Public Health Service Act. Use the following: **"The Public Health Service Act, Title V, Section 501(d)(3) states, 'The Secretary, acting through the SAMHSA Administrator, shall carry out public information functions required to implement programs for improving the delivery of prevention and treatment services for mental and addictive disorders.'" Developing public information materials to prevent substance use supports this mandate.**

9e. ***Publication Is Not Duplicative of Another Public/Private Sector Communications Effort:*** While establishing clear "Evidence of Need," you should have conducted an informal survey of other Government Agencies and public sector organizations that may have produced a similar publication. Describe the efforts made (e.g., data bases used for literature searches, publications reviewed) to ensure that the proposed product does not duplicate other communication efforts. If the Center/Office is the sole source of information on which the product is based (e.g., OAS is the sole source for National Household Survey on Drug Abuse data.), it is not sufficient to state only, "The publication does not exist anywhere else and thus makes a unique contribution to the subject area." You must provide evidence that supports such a statement.

9f. ***Publication is Cost-Effective and/or Cost Beneficial:*** Use this opportunity to explain why the proposed product is a priority for the expenditure of limited Agency resources. Address how the type of product selected is an efficient means to reach the target audience, how the product complements other strategies used to reach targeted audiences, or how the product capitalizes on investments already made in knowledge development and application grants. This section will bring together information in the Evidence of Need and Statement of Utility sections, as they relate to the outlined Production Costs.

9g. ***Justification for Free Copies and Why Intended Recipients Cannot or Should Not Be Required:*** Language in Title V of the Public Health Service Act specifically states, "The Secretary, acting through the Administrator, shall carry out the administrative and financial management, policy development and planning, evaluation, knowledge dissemination, and public information functions that are required for the implementation of this title." Making publications available free of charge clearly supports this mandate; cost should not be a factor that excludes individuals from accessing Agency publications.

Promotion Plan:

Simply producing a publication does not result in the desired outcome discussed in the statement of purpose. Describe how you will let the target audience know that a product that they need is available and how they can get it. The type of publication, the target audience, and the budget determine the complexity of a promotion plan. When a promotion plan is warranted, one should be attached to the HHS-615. Otherwise, simply state, "There is no need to raise awareness about the availability of this publication once it is available."

Distribution Plan:

Once a product is available, a good distribution plan will help get the publication to the target audience. A distribution plan may simply state, "The Agency is requesting to print 500 copies of the publication for a target audience of 450 treatment providers. The Agency intends to use an in-house mailing list to reach the intended audience through direct mail." The type of publication, target audience, and budget determine the complexity of the distribution plan**.** A copy should be attached to the HHS-615. Remember that immediate and direct dissemination on availability should be made to SAMHSA's management team members, key HHS officials, all Advisory Councils members, and members of appropriate constituencies and trade press.

Completing the HHS-524A Audiovisual Clearance Request Form

The HHS-524A is a Departmental form provided for detailing **a *proposal*** for an audiovisual product (videotape, audiotape, or Web site). The HHS-524A form is available on the SAMHSA Intranet at **http://intranet.samhsa.gov/Formflow/SAMHSAForms.aspx.** It is in a PDF form that you can fill out online and print.

Before preparing the HHS-524A, the Project Officer already should have conceptualized a) justifications for developing the products—required to be placed on the PCMS; b) distribution and dissemination plans; c) marketing and promotion plans; d) printing specifications; and e) estimated development, production, printing and mailing costs.

Overview of Items To Be Completed on the HHS-524a Form

Items 1-2: Title; Administrative Information

- Item 1—Choose the shortest title that accurately describes your product. Keep in mind how the words will look on the publication cover. Short, punchy titles that stay in the reader's memory are best.
- Item 2—Fill out the administrative information completely; include both the name and telephone number of program staff and of the Center/Office Publications Coordinator.

Items 3-4: Type and Category of Product (including specifications)

- Item 3—Choose the category that most accurately describes the specifications for your audiovisual products (e.g., audiotape, videotape, or Web site).
- Item 4—Choose one of the following to describe "Category of Product:" public information, education, training, public affairs, news, PSA, research, documentary, or specify other. Describe the specifications related to your product, checking all that apply; describe the methods of production (contracted out, internal); and explain the anticipated shelf life of the product.

Item 5: Purpose and Justification

- Attach this justification for the audiovisual product(s) separately as "Attachment A to the HHS-524A.

Item 6: Intended Audiences

- "Audiences" are the people you want to reach and influence with information and messages. By narrowing the product's target audience, you can develop and provide a more relevant and useful product and disseminate it in the most cost-effective manner. The "general public" is an acceptable description of an audience only on rare occasions.
- Both a primary and a secondary audience should be identified and substantiated throughout the HHS-524A. If other audiences are identified in addition to the primary and secondary audiences, the HHS-524A should substantiate them as well.

Item 7: Translation

- SAMHSA prefers *adaptations* to translations. If you intend to adapt the proposed audiovisual products into languages other than English, check "*Yes*" and specify the languages.

Item 8: Distribution Methods

- Delineate how the product will be delivered to the intended audience. Direct distribution channels include mail, electronic, meetings, exhibits, publications racks, etc. Indirect distribution uses an intermediary to reaching the targeted audience (e.g., journal publication, distribution by State substance abuse/mental health Agencies, behavioral health care companies.
- The more precisely the audience is defined, the more precisely a distribution method can be identified and successfully used to reach the intended audience.
- If you have more than one product in the HHS-524A, consider whether separate distribution plans are needed for each. A "Distribution Plan" should be attached to the HHS-524A.

Item 9: Number of Copies/Prints

- Self-explanatory.

Item 10: NAC Title Search Required

- Indicate "No."

Item 11: Methods of Evaluation

- Indicate methods through which the reach, awareness, and utilization of the product will be realized, if any evaluation methodologies are to be undertaken.

Item 12: Schedule

- Do *not* specify precise dates. Instead, specify as follows:

  Development: From date of approval to x days following approval
  Production: From x days following approval to y days following approval
  Distribution: From y days following approval, ongoing
  Promotion: Ongoing from y days following approval.

Item 13: Production Cost Estimates

- If a product has been written in-house, estimate costs of staff time and list on first line under in-house.
- Be sure to specify all parts of the production costs FOR EACH PRODUCT in the subject HHS-615/524A. Failure to do so has caused delays at OASPA.
- Remember to specify the source of funds and note "FY 20XX, pending funding availability."

Details for Writing Item 5: Purpose and Justification

- ***Background**:* While not a required part of the justification, a brief background section describing the genesis of the concept can place the proposed product into context for the reviewer.

- ***Statement of Purpose*:** Begin with "the Substance Abuse and Mental Health Services Administration's (SAMHSA's) [Center/Office] proposes to develop and disseminate…[name the products] for [name audience(s)…." Keeping the audience in mind, describe the ultimate purposes of the product(s). For what purpose is it being proposed for the target audience (e.g., raise awareness, educate, change practices, take action)? [For example, "SAMHSA's Office of Communications proposes to develop and disseminate a backgrounder for SAMHSA's professional and lay constituencies that explains and educates them about the Agency's matrix of priority programs, its mission, and the vision for the Agency.] Outcomes will be different for different type of publications. If multiple products are included, describe each using brief bulleted items including specificity of target audience and ultimate purpose of product.

  If you are completing the HHS-524A form for a Web site, you must include a hard copy of the site map for your Web site in Attachment A to the HHS-524A.

- ***Evidence of Need:*** Be sure to delineate the evidence of need; do not just *state* the fact that there is a need. Do not assume that you know what a potential audience wants or that no comparable products exist from other public/private organizations. Do the research. Cite the sources that informed you that you need this specific product.

- ***Statement of How the Product Will Be Used and by Whom:*** Provide a clear description of the intended audience and the distribution plan; and the evidence of capabilities for getting the product into the hands of the specific target audience.

- ***Evidence of Non-Duplication of Product:*** While establishing clear "Evidence of Need," you should have conducted an informal survey of other Government Agencies and public-sector organizations that may have produced similar products. Describe the efforts made (e.g., databases used for literature searches, products reviewed) to ensure that the proposed product does not duplicate other communication efforts. If the Center/Office is the sole source of information on which the product is based, it is not sufficient to state only, "The publication does not exist anywhere else and thus makes a unique contribution to the subject area." You must provide evidence that supports such a statement.

Part 7 Content Clearance Requirements

What is the form and when is it used?

The SMA-120 is a SAMHSA form used to track the clearance and approval of manuscripts and audiovisual products. OC manuscript review ensures that the materials developed have been included on the 12-month communications calendar and have been subject to the Departmental planning and clearance process. OC reviews the product's content for grammar, syntax, policy implications, appropriateness for the intended audience, style consistency, use of standardized logos, and other mandated text requirements, etc.

This form is used to review products included on the 12-month communications calendar that have been approved through the Departmental planning and clearance process. However, SAMHSA develops products that are not subject to Departmental planning and clearance requirements and *do* require SAMHSA content clearance. The *content clearance form* also is used for these products, among which manuscripts for publication in peer-reviewed journals, book chapters, policy papers, and other materials that fall outside the standard OASPA concept clearance process. *When in doubt, contact OC for clarification.*

What special steps should I take during product development?

Appropriate expertise from SAMHSA, other HHS OpDivs, other Government Agencies and/or outside organizations should be sought for "peer review" of a product before its completion and submission for concept clearance using Form SMA-120. Consider the utility of field or focus group review of the product as well. All those involved in review of a draft product should be identified on an attachment to the SMA-120.

What should I look for as I review a manuscript?

As you review a draft manuscript or audiovisual product, the following issues, among others, should be assessed:

- Grammar and syntax—Is the product well written (in plain English, grammatically correct, and at the reading level of the intended audience)?
- Organization—Is the product well organized across sections (does it "flow" from start to finish within paragraphs, within chapters or sections, and across the entire product)? Is the order in which the materials are presented logical?
- Style—(Use the GPO Style Manual), is the style consistent across the entire product (e.g., are ALL the "F"s capitalized in Federal; are all the numbers 1–9 spelled out, with Arabic numbers thereafter; if using a comma before "and" in a series, is it consistent throughout, etc.)?
- Is the material on the back of the title page (acknowledgment, disclaimer, etc.) in the standard SAMHSA format?
- Is the "Bird plus Words" HHS logo on the front cover in appropriate size and font (e.g., "Bird" is NO LESS than 5/8" diameter, preferably 1," HHS is all caps and bolder than SAMHSA, the Center/Office, and SAMHSA's Web address)?
- Are other "graphics" on cover smaller and less distinct than the "Bird plus Words" logo?

- Can any of the language be considered "self-aggrandizing" or "advocacy"? If so, it needs to be changed.
- Does the contractor's name appear in the text (other than in the back of title page)? Does it add to the meaning, or is it advertising?
- Is the document written in a consistent same tense?
- Has the content been "peer reviewed" by experts for accuracy and scientific integrity? Have consumer products been reviewed by a sample of the proposed audience? How might such review benefit the final product?

Is there anything special I need to know about filling out Form SMA-120?
This form is self-explanatory.

What, if anything, should accompany this form and the manuscript/audiovisual product?
Unless the product is exempt from OASPA concept clearance (see above and Part 3), the content clearance package signed by the Center/Office Director should include not only the SMA-120 and the product, but also the previously approved HHS-615 and the OASPA approval memo. Also include an attachment that delineates any pre-clearance "peer review" of your draft product. If initial OASPA clearance required manuscript review by other HHS OpDivs, include a one-paragraph description of the product in the transmittal memo to the reviewing OpDivs.

Who approves the content of the manuscript or other communication product?
The manuscript or other communication product first is reviewed and approved/disapproved by the CD/OD. Following Center/Office approval (indicated by the dated signature of the Center/Office Director), the manuscript is forwarded to the OC, where it is reviewed and approved/approved, with edits/disapproved.

Occasionally, OASPA imposes a condition on concept clearance (615/524A) that requires review by specific HHS OpDiv(s) before final publication is permitted. [For example, products focused on child welfare issues may require ACF review; products related to Medicare/Medicaid might require CMS review. Most policy-relevant products will require ASPE review.] After OC has completed its review and approved the draft publication, the draft is formally submitted to the relevant OpDivs for review. A letter with any conditions from the OpDiv will be returned to SAMHSA. If the OpDiv review requires revisions before final publication, OC will return the draft publication with instructions to the appropriate Center/Office for necessary action. If no further work is needed on the manuscript or other communication product, OC will approve its production.

How long can I expect this process to take?
That depends on the quality of the submitted product (grammar, syntax, match between writing level and intended audience; adherence to a particular style manual; proper use of logos and disclaimers; policy relevance; compliance with OASPA requirements and regulations regarding self-aggrandizement, lobbying, advocacy, etc.). The quality of the product affects the length of OC review time needed and the extent to which significant edits will be required. *A well-crafted product can be expected to take approximately 3 weeks for OC content review.*

OASPA-required review by other OpDivs adds a minimum of 30 days to the review time.

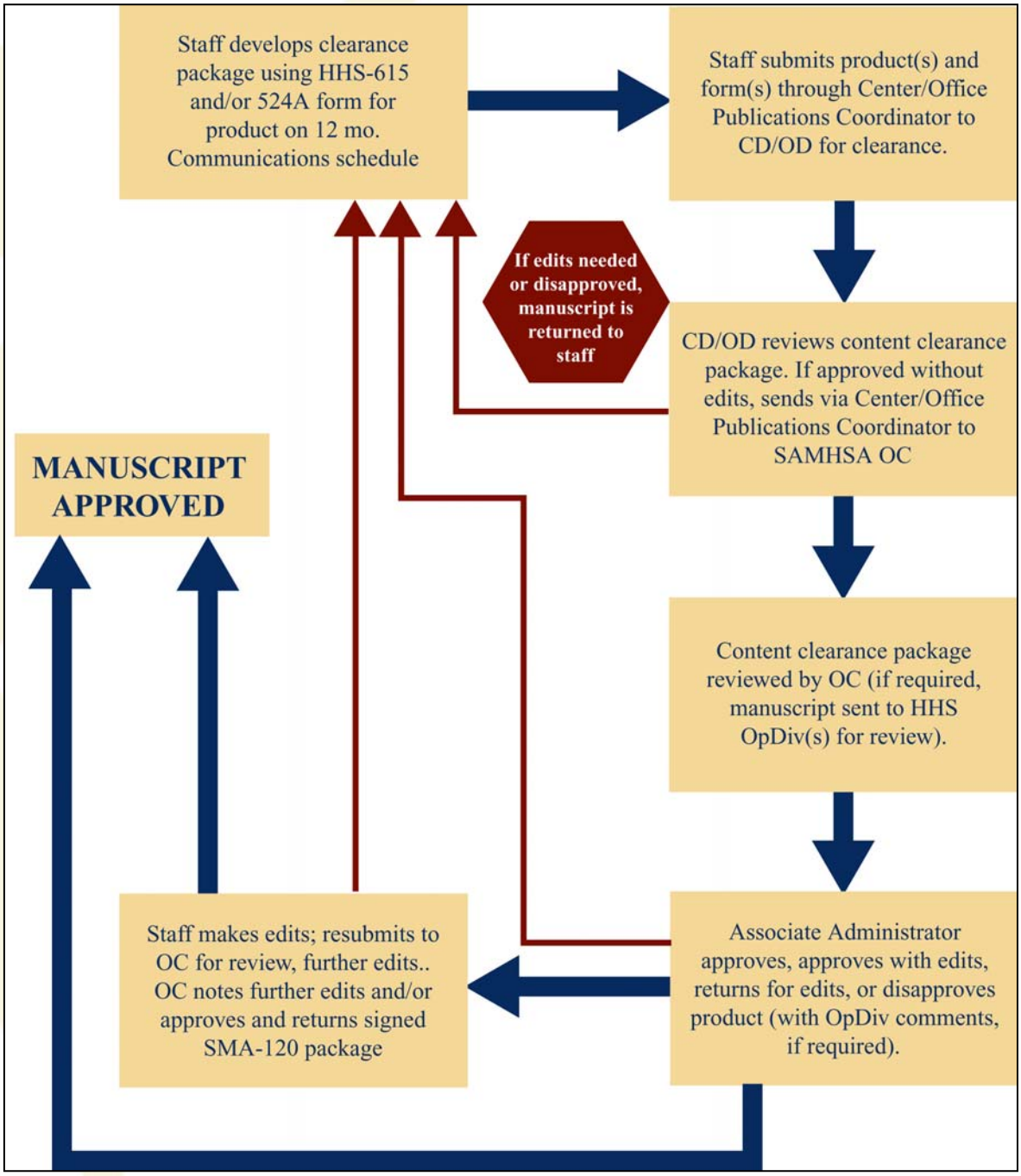
Where can I find the SMA-120 form?

The SMA-120 form is available on the SAMHSA Intranet at **http://intranet.samhsa.gov/Formflow/SAMHSAForms.aspx.** It is in a PDF form that you can fill out online and print.

Checklist 4: Manuscript and Audiovisual Content Clearance

- √ Program staff develop or oversee contractor development of publication.
- √ During the development process, program staff circulate manuscript for "peer review" assessment, focus group assessment (optional, but useful).
- √ Program staff prepare SMA-120 package and clear publication with Program Office.
- √ Center/Office Publications Coordinator dates and numbers manuscript consistently with number given to the HHS-615/524A.
- √ Center/Office Publications coordinator obtains Center/Office Director's approval and signature on SMA-120 package.
- √ SMA-120 package (including form, draft product, list of reviewers [as appropriate], paragraph describing product for OASPA-mandated OpDiv review, etc.) is submitted to OC by Center/Office Publications Coordinator.
- √ SMA-120 package is date-stamped by OC and entered into OC product tracking system.
- √ Designated OC staff review the manuscript and make recommendation to Associate Administrator for Communications to approve, approve with conditions, or disapprove.
- √ Associate Administrator for Communications approves, approves with edits, or disapproves manuscript. Disapproved proposals or those requiring revision are returned through Center/Office Publications Coordinator. Center/Office may appeal disapproved manuscript.
- √ Products returned for revision are logged out of the OC product tracking system, pending receipt of revised manuscript/product. SAMHSA program staff are encouraged to work with OC staff regarding editing questions—whether on policy, syntax, layout, etc.
- √ If required by OASPA as a condition of HHS-615/524A clearance process, OC develops transmittal memo and forwards it to OASPA-identified OpDivs to review the manuscript. Based on OpDiv's review and comment, OC will either approve or return the draft publication with instructions to the appropriate Center/Office for necessary action to respond to OpDiv's issues/comments.
- √ Final manuscript (with relevant edits by OC and other OpDivs completed) is transmitted by program staff through Center/Office Publications Coordinator to OC for final approval.
- √ Form SMA-120 authorizing printing/publication is signed by Associate Administrator for Communications and returned through Center/Office Publications Coordinator to program staff. Disposition is noted in the OC product tracking system and in the PCMS.

Figure 3: A Walk Through the SMA-120 Manuscript Clearance Process



Formatting Standards

While text may be formatted in any consistent manner, SAMHSA has adopted a number of protocols regarding the front and back covers, title page, location/content/style/format for acknowledgments and disclaimers, and forewords.

Front Cover

In the spirit of one HHS and one SAMHSA, the official logo to appear on the front covers of products (or as appropriate on such items as posters, jewel cases, etc.) is the official HHS "Bird plus Words" logo. Electronic versions of the logos for each Center/Office are found on the SAMHSA Intranet at **http://intranet.samhsa.gov/special/HHS_logos.aspx.**

The *minimum* size of the "Bird" is 5/8". SAMHSA recommends that the size be no less than 1", particularly on standard-size (8 1/2'" x 11") publications. The "Bird plus Words" logo shall *not* be used on items that could suggest Departmental endorsements (as in some give-aways at conferences supported but not organized by SAMHSA).

Program icons are permissible on approved SAMHSA communications products. However, they may not be more prominent or dominant than the "Bird plus Words" logo. They may have the name or acronym of the program, but *not* the name of the SAMHSA Center, Division, or Branch. Program icons *are* permissible in lieu of the "Bird plus Words" logo on such items as badges, name tents, and other small items used at conferences; they also are permissible on OC-*approved* "giveaways."

Title Page

For any manuscript requiring a title page (a bound print product that is larger than a simple fold over), a title page should be included. That page should include the title of the volume and, if appropriate, the names of the lead author(s). Author affiliations are *not* to be included. The bottom of the page should carry the following words, with no HHS "bird:"

U.S. Department of Health and Human Services
Substance Abuse and Mental Health Services Administration
[Name of Center/Office]

Acknowledgments/Disclaimers (back of title page)

SAMHSA has developed standard language and style guidelines for this information. All of the information is to appear on the back of the title page; thus, it must be brief and to-the-point. Thus, if a significant number of individuals who are not contractors to SAMHSA have participated in the development of the product, list the names and affiliations of the participants/authors in an appendix to the volume.

Forewords

A publication may contain a foreword or introductory message. However, its tone and content may not be perceived as personal aggrandizement in the conduct of public business. It should not single out internal staff or outside individuals, contractors, or grantees by name for thanks or other mention. The statement should be brief and limited to the transmittal and purpose of the publication. The Administrator always is the sole signatory or cosigns such forewords or introductory messages. A signature block is NOT used.

Manuscript Helpful Hints

Manuscript Content

All materials distributed by SAMHSA will be reviewed for accuracy, propriety, completeness and quality (including objectivity, utility, and integrity), consistently with the Office of Management and Budget (OMB) Information Quality Guidelines. SAMHSA documents must be objective and scientifically sound. Sources should be referenced for the convenience and information of the reader. Where appropriate, supporting data should have full, accurate, and obvious documentation.

Layout and Design

Each publication should be prepared in a pleasing, dignified, and finished format appropriate for its intended use and audience. Use of color and typography must be in accordance with Government Printing and Binding Regulations.

Prohibitions

Government Printing and Binding Regulations specifically prohibit advocacy, lobbying, and aggrandizement in Government communications products.

If in doubt about any manuscript issue or any aspect of Printing and Binding Regulations and how they apply to your products, please contact OC. We will be happy to assist you.

Sample 2: Acknowledgement/Disclaimer Page—Few Authors/Contributors

ACKNOWLEDGMENTS

This report was prepared for the Substance Abuse and Mental Health Services Association (SAMHSA) by [fill in name of author/organization] under contract number [fill in contract number], with SAMHSA, U.S. Department of Health and Human Services (HHS). [Fill in name of SAMHSA staff] served as the Government Project Officer.

DISCLAIMER

The views, opinions, and content of this publication are those of the author and do not necessarily reflect the views, opinions, or policies of SAMHSA or HHS. [Other disclaimers may be necessary, such as a statement that a listing of any non-Federal resources is not all-inclusive and that inclusion on the listing does not constitute an endorsement by SAMHSA or HHS.] *OC is happy to work with you to ensure that proper language is included.*

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ELECTRONIC ACCESS AND COPIES OF PUBLICATION

This publication may be accessed electronically through the following Internet World Wide Web connection: www.samhsa.gov. For additional free copies of this document, please call [Insert either SAMHSA's National Clearinghouse for Alcohol and Drug Information at 1-800-729-6686 or 1-800-487-4889 (TTD) or SAMHSA's National Mental Health Information Center at 1-800-662-4357 or 1-800-228-0427 (TTD)].

RECOMMENDED CITATION
[Follow this example]: Dichter H., *Implementing an Early Warning System.* DHHS Pub. No. XXXX. Rockville, MD: [Insert relevant Center/Office], Substance Abuse and Mental Health Services Administration, [Insert year].

ORIGINATING OFFICE
[Follow this example]: Office of Managed Care, Center for Substance Abuse Treatment, Substance Abuse and Mental Health Services Administration, 5600 Fishers Lane, Rockville, MD 20857
DHHS Publication No. XXXXXX
Printed 2002

Sample 3: Acknowledgement/Disclaimer Page—Many Authors/Contributors

ACKNOWLEDGMENTS
Numerous people contributed to the development of this document (see Appendix XX). The document was written by [fill in name of author/organization] under contract number [fill in contract number], with SAMHSA, U.S. Department of Health and Human Services (HHS). [Fill in name of SAMHSA staff] served as the Government Project Officer.

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The views, opinions, and content of this publication are those of the author and do not necessarily reflect the views, opinions, or policies of SAMHSA or HHS. [Other disclaimers may be necessary, such as a statement that a listing of any non-Federal resources is not all-inclusive and that inclusion on the listing does not constitute an endorsement by SAMHSA or HHS.] *OC is happy to work with you to ensure that proper language is included.*

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ELECTRONIC ACCESS AND COPIES OF PUBLICATION
This publication may be accessed electronically through the following Internet World Wide Web connection: www.samhsa.gov. For additional free copies of this document please call [Insert either SAMHSA's National Clearinghouse for Alcohol and Drug Information at (800) 729-6686 (English and Español) or (800) 487-4889 (TDD) or SAMHSA's National Mental Health Information Center at (800) 789-2647 (English and Español) or (866) 889-2647 (TDD).

RECOMMENDED CITATION
[Follow this example]: Dichter H., *Implementing an Early Warning System.* DHHS Pub. No. XXXX. Rockville, MD: [Insert relevant Center/Office], Substance Abuse and Mental Health Services Administration, [Insert year].

ORIGINATING OFFICE
[Follow this example]: Office of Managed Care, Center for Substance Abuse Treatment, Substance Abuse and Mental Health Services Administration, 5600 Fishers Lane, Rockville, MD 20857
DHHS Publication No. XXXXXX
Printed 2002

Part 8 Printing and Visual Services Authorization (HHS-26)

What is the form and when is it used?

After receiving concept *and* product (manuscript) clearance, Form HHS-26, Printing and Visual Services Authorization, is used to have the Program Support Center (or other GPO-authorized printer) process the print job. Form HHS-26 not only provides the printer approval to undertake a print job, it also provides the printer with specifications such as paper stock, ink color, trim size, number of pages, number of copies, graphic and photographic assistance needed, and costs. Special handling instructions, such as a designated mailing list, also should be included with Form HHS-26.

NOTE: All printing and binding must be done by the GPO or under a GPO-approved contract unless: a) specific statutory authority permits purchase of printing without GPO authority, or b) a waiver is obtained from the Congressional Joint Committee on Printing or from the GPO.

Who approves this form?

Form HHS-26 must be signed by the **SAMHSA budget office** (to authorize that funds are available for the printing), **Center/Office Director of designate** (to approve fund dispersal and final product), and **Associate Administrator for Communications or designate** (to provide SAMHSA-level approval of expenditure for final product.

How long can I expect it to take for approval?

This can be managed within a single day, if necessary. It is up to program staff and the Center/Office Publications Coordinator to obtain these approvals and to move the Form HHS-26 and required manuscripts and disks to the GPO or GPO-authorized printer.

Where can I find this form?

This form is available on the SAMHSA Intranet at **http://forms.psc.gov/forms/HHS/hhs.html.** It is a PDF form that you can fill out online and print.

ONE LAST SUGGESTION: GET FEEDBACK

To ensure that your publications are useful and effective, you may wish to seek feedback from individuals receiving the products. This information can be used to help identify and satisfy customer needs, and develop potential further opportunities, to target new markets, to plan and implement programs, and to monitor product performance. Consider using a postcard self-mailer in a product to achieve these aims. Remember, though, that the postcard needs to be included as an element of your 615 package and content clearance before you can use it!

Part 9 Who to Call For Help and When

For Assistance at the Center/Office Level

[Includes assistance in determining costs of printing and mailing and general assistance with the forms required for SAMHSA and HHS clearance; and advising of status of products]

CMHS	Jose Bermea	240-276-1884
CSAT	Kim Plavsic	240-276-1578
CSAP	Carolyn Smith	240-276-2551
OAS	Coleen Sanderson	240-276-1283

For Assistance from the Office of Communications

[Includes assistance in preparation of communication clearance forms, questions about manuscripts and edits, standardized language, logos, etc.]

Alvera Stern (Concept) 240-276-2129

For Assistance with Printing and Mailing Costs

(If Center/Office staff is not able to assist)

PSC for Printing Costs

Ralph Russell 301-594-3185

SAMHSA for Mailing Costs

Shirley Casey 240-276-1021

Part 10 Policy and Procedures for Media Requests, Inquiries and Events

M E M O R A N D U M

October 20, 2004

TO: All SAMHSA employees and contractors

FROM: Mark Weber, Associate Administrator for Communications

RE: Policy and procedures for media requests, inquiries and events.

This memorandum sets forth SAMHSA policy and procedures for managing media inquiries, as well as invitations to agency personnel for participation in external events potentially involving media coverage. All of SAMHSA, its centers, offices and contractors are subject to these requirements and responsibilities. The following is a step-by-step procedure to help us work with the media as an effective communication channel.

What if you, as an employee, supervisor, senior manager or contractor, receive a request/inquiry (by telephone or otherwise) from a news media representative (reporter, editor, producer, writer, researcher, correspondent, etc.) for an interview, information, publications and/or statistics, and what should you do to help coordinate these requests/inquiries?

1. Like any call/email you receive obtain from the person her/his name, affiliation, and reason for contacting you. After you find out the call/email is from a media representative - please do not say that you cannot talk to reporters or that you have to get clearance before you talk to reporters (you may find yourself quoted) - simply direct the media representative to SAMHSA's Office of Communications (OC). Our main phone number is 240-276-2130. Tell them to ask for the on-duty press officer.

   For your information, the on-duty press officer will usually be Leah Young, Shelly Burgess or Mark Weber. Leah Young can be reached directly by phone at 240-276-2127 or by email **Leah.Young@samhsa.hhs.gov**. Shelly Burgess can be reached directly by phone at 240-276-2134 or by email **Shelly.Burgess@samhsa.hhs.gov**. Mark Weber can be reached directly by office phone at 240-276-2128, cell phone at 301-651-3625 or by email **Mark.Weber@samhsa.hhs.gov**.

2. As soon as possible, e-mail a "heads up" that includes the media representative's name, affiliation, phone number and brief reason for calling to Leah Young with a "cc" to Shelly Burgess and Mark Weber.

3. The Office of Communications will coordinate the response and participate in approved interviews.

What if you, as an employee, supervisor, senior manager or contractor, receive a request/invitation from an agency/organization external to SAMHSA (government or private sector) to participate in an event (news briefing/conference, facility tour, etc.) as a representative of SAMHSA that news media will cover?

1. Prior to agreeing to such a request or accepting such an invitation, you should report the request/invitation to your supervisor, as well as to SAMHSA's Office of Communications.

2. As soon as possible, e-mail relevant information (event sponsor, topic, expected participants, etc.) on the request to Leah Young with a "cc" to Shelly Burgess and Mark Weber.

3. The Office of Communications will review the request and provide further instruction.

Questions regarding this memorandum should be forwarded to Leah Young or Mark Weber. Thank you for your continuing cooperation in our efforts to work with the media to inform the public on our initiatives and accomplishments.

Part 11 Frequently Asked Questions

The following topics and questions are among those submitted to OC by program staff from across SAMHSA during the development of this manual. They include only questions that are not answered in other sections. Please feel free to contact OC for answers to questions that do not appear in this manual.

Adaptation to Languages Other Than English

I have a product I want to translate into another language. Shall I just task our materials development contractor to do this translation? If it's been the subject of concept clearance in its English language version, do I need to clear this translation?

SAMHSA requires that products being developed in languages other than English be *adapted* rather than *translated* to that language. The standard to be used shall be the language used in academic/media activities/pubs in the non-English language, rather than dialects or usage patterns associated with any one single subpopulation. SAMHSA OC recommends that members of the target population be part of the development process and that during development, the products be reviewed by members of the target population. *Adaptations may not be developed without proper OASPA clearance through the communications planning and clearance process.*

Articles for Peer-Reviewed Journals

What is required if I have developed an article that will appear in a peer-reviewed journal?

SAMHSA OC would be happy to review the draft product for syntax, grammar, policy, etc., as a service to SAMHSA staff. When an article is accepted, OC would like to receive a copy, as well as the projected publication date. OC will review the copy for potential of developing a press release on the article. Please remember to include a disclaimer, as follows:

"The views, policies, and opinions expressed are those of the authors and do not necessarily reflect those of SAMHSA or HHS."

What if my grantee has an article to be published in a peer-reviewed journal?

Articles for peer-reviewed journals developed by grantees do *not* require clearance through the HHS communications planning and clearance process. SAMHSA appreciates acknowledgement of SAMHSA support for such products and inclusion of a disclaimer, as follows:

"This paper/report/etc. was developed [in part] under grant number XXXX from the Substance Abuse and Mental Health Services Administration (SAMHSA), U.S. Department of Health and Human Services (HHS). The views, policies, and opinions expressed are those of the authors and do not necessarily reflect those of SAMHSA or HHS."

OC appreciates advance notice and a copy of the accepted article to determine if a press release on the publication is warranted.

What if my contractor has an article approved for a peer-reviewed journal based on material developed specifically for SAMHSA?

This generally should not happen. Materials developed by contractors are "owned" by SAMHSA, not the by contractor per se. SAMHSA does reserve the right not to concur in the content of a contractor-prepared product, accepting it with thanks, and enabling the contractor to do what s/he wants with the manuscript—with a disclaimer in place, as follows:

"This paper/report/etc. was developed [in part] under contract number XXXX from the Substance Abuse and Mental Health Services Administration (SAMHSA), U.S. Department of Health and Human Services (HHS). The views, policies, and opinions expressed are those of the authors and do not reflect those of SAMHSA or HHS."

NOTE: If evaluation information is included in the proposed publication, it needs to be reviewed by the Office of Policy, Planning and Budget (OPPB). There is a requirement that evaluation-related articles need to be brought to the attention of ASPE. Contact George Fitzelle at OPPB about this topic.

Automated/Electronic Clearance

Is there a way to do this process on-line or in an automated way?

Unfortunately, OASPA has not yet automated the communications clearance process for electronic review and signature. The ongoing review of the OASPA communications planning and clearance process may change this at some time in the future. However, the PSC does have electronic versions of all but one of the forms on-line that are available for you to fill out and print.

Clearance Process

What is the difference between "concept" and "content" clearance?

"Concept" clearance refers to the review of the "idea" of the communication product. The "concept" is what is approved for inclusion on the PCMS. The concept is what is included in any contract/procurement/purchase order for communication services. The concept included on the PCMS is the topic of Forms HHS-615 and/or HHS-524A submitted for review and clearance through the Center/Office, OC and OASPA.

"Content" clearance refers to the review of actual content of communications products—whether or not they are required to have previously been approved through the "concept clearance" process. For the most part, that clearance occurs within SAMHSA.

Does the OC prioritize communications planning and clearance documents and content clearances? If so, how?

The standard procedure is to manage the products on a "first in, first read" basis. There are exceptions, such as a product developed on deadline in response to Congressional or Departmental request. The quality of the products *does* have an effect on how long the clearance can take, however. Revisions to a 615/524A can lengthen the time it takes for a communications product to be reviewed and approved or disapproved by OC and OASPA. The quality of a manuscript can affect the duration of content clearance.

How many reviewers are involved in concept and content clearances at OC?

Within the Office of Communications, up to two people review communications contracts/purchase order/procurements and HHS-615/524A forms: the Marketing Specialist and the Associate Administrator for Communications. On occasion, OC will send the HHS-615/524A to another Center/Office for review, or ask the program staff who developed the proposal to do so, particularly in the case of overlapping topics.

Manuscripts/audiovisuals themselves are reviewed by at least one person at OC, sometimes by other OpDivs (if required by OASPA). Again, on occasion, OC will request other Centers/Offices to review draft products in topics of overlapping interest.

What happens if my HHS-615 or HHS-524A is disapproved, or approved with conditions that are not feasible?

You may appeal OASPA disapprovals through OC. Discuss with OC staff any difficulty meeting OASPA conditions of approval. OC staff may be able to resolve the problem.

We just discovered an internal document that we have had prepared for us is worthy of publication. What do we do? What if it was developed by a contractor? What if it was developed by a grantee?

If a product developed by a contractor or by a Center/Office has not been included on the PCMS, it may not be disseminated, however worthy it may be. Products may be included on the schedule throughout the year, based on need. If the product is added to the schedule, it must be subject to the OASPA communication planning and clearance process. No production may begin without OC/OASPA clearance of the HHS-615/524A and OC approval of the SMA-120.

Products developed by grantees are not subject to SAMHSA or OASPA review and clearance. They are *not* considered to be SAMHSA products. However, SAMHSA requests that grantee products contain a disclaimer to that end and that the product contain a statement that SAMHSA funds (specify grant number) supported the project on which the product is based. Also see below regarding the difference between contracts and grants/cooperative agreements.

Where can I get more information on Departmental Clearance?

This manual provides considerable information about the HHS communications planning and clearance process. However, the process is governed by specific regulations and Departmental requirements.

HHS Public Affairs Manual—online at **www.psc.gov/public_affairs.pdf.**

Congressional Printing and Binding Regulations—online at **www.house.gov/jcp/jcpres.pdf.**

Color

I want to use multiple colors—four colors, in fact, both on the cover and in the text of a product. Is there any problem with just doing it?

The use of multiple colors in SAMHSA publications is subject to OASPA approval and often is a condition of OASPA approval of Forms HHS-615/524A. Government printing and binding regulations specifically state that "multicolor printing shall contribute demonstrable value toward achieving a greater fulfillment of the ultimate end-purpose" of the product.

"Demonstrably valuable multicolor printing" includes the following:

- √ Maps and technical diagrams where additional color is necessary for clarity;
- √ Object identification (flags, uniforms, medical specimens, etc.);
- √ Safety programs, fire prevention, savings bond programs, and competitive areas of personnel recruiting;
- √ Areas in which clearly identifiable savings in costs can be soundly predicated on multicolor use;
- √ Printing for programs required by law, whose relative success or failure is in direct ratio to the degree of public response, and where that response can be logically attributable to the number of colors planned and the manner in which they are proposed to be used; and
- √ Color for promotional or motivational purposes such as programs concerning public health, safety, or consumer benefits.
- √ Specifically *excluded* is use of color—
    - o For decorative effect;
    - o In lieu of effective layout or design;
    - o When excessive (four colors when two or three will fill the need, etc.)
    - o That does not reflect the effect color is intended to have on ultimate purpose.
- √ General rules of thumb based on OC experience suggest that—
    - o Materials for professional audiences should be limited to 1 color text, unless very clearly justified in the HHS-615. Covers may contain no more than two colors.
    - o Materials with 1-year life cycles or less should be restricted to one color for both cover and text, unless data clarity warrants multiple colors.
    - o Materials for lay audiences *may* receive approval for up to four-color process. However, clear and unequivocal justification meeting the above requirements for more than two colors is key to OASPA approval.

Draft Products

Can I mark a product "draft," have it Xeroxed or printed, and distribute it at conferences?

No. The product needs to be on the PCMS, approved through the OASPA communications planning and clearance process and through the SAMHSA manuscript clearance process before it may be printed in *any* form. Except for specific peer review or focus group assessments, drafts are *not* to be circulated or showcased in any way before they are approved by OC via signed SMA-120 as final products ready for printing.

Editing

Who can edit my communications projects? Is this something that SAMHSA OC can do for me?

SAMHSA does not maintain resources for editing manuscripts. Contractors are responsible for the editorial accuracy of all communications products that are deliverables under contract with SAMHSA or its subdivisions. Thus, OC recommends that you include specific language in your RFC regarding the need for editorial quality and staff of sufficient capacity to ensure such quality.

Editorial Standards

Federal publications look and sound different depending on the Agency they come from. What, if any, standards need to be adhered to for SAMHSA publications?

OC's editorial standards reflect the plain English requirements of OMB; the consistent application of the general rules of syntax and grammar contained in *The Government Printing Office Style Manual*; standard usage of SAMHSA-related terminology; and general rules regarding composition, organization, and style required for a product to be used readily by its intended audience.

Electronic Distribution of Products

Do I need clearance if I want to distribute materials electronically, on a CD-ROM or DVD, or on the SAMHSA Web site?

Yes. CD-ROM, DVDs, and software materials need both HHS-615 and SMA-120 review and clearance. These products must be included on the PCMS. For Internet-only products, check with the Office of Communications to see what level of clearance you need.

Field Review

Can I send draft publications out for field review? When do I do this?

Yes, materials—marked "Draft"—may be shared with external reviewers for field review (whether peer review for provider-related products or focus group review for consumer-related products). The products should be collected following the review. All reviews should be completed before you submit your draft manuscript and SMA-120 through your Center/Office to OC for clearance. A copy of any field review reports should be submitted to OC when you submit your manuscript.

Forewords and Introductory Messages

I want to include a foreword in the manuscript that we have developed following the OASPA concept clearance. What can it say, and who can sign it?

A publication may contain a foreword or introductory message, as long as it is not perceived as personal aggrandizement in the conduct of public business. Therefore, it should not single out staff or outside individuals, contractors, or grantees by name for thanks or other mention. The statement should be brief and limited to the transmittal and purpose of the publication.

If such a foreword or introductory message is included in a publication, it must be from the Administrator or from both the Administrator and the appropriate Center/Office Director. A signature block is NOT used.

Forms

Which forms do I need and when do I use them? Where do I get them? Are they available online?

Please review the table of contents to determine where in the process you are and which forms you need. At this time, copies of all forms are available on the SAMHSA Intranet.

Products Developed by Grantees, Under Cooperative Agreement, and by Contractors

What are the different requirements regarding products developed by grantees, under cooperative agreements, and by contractors?

For products developed under contracts, SAMHSA owns the information, and the full planning and clearance process applies.

For grants and cooperative agreements, the grantee owns the information, and the full process does not apply.

For Technical Assistance Centers funded by *contracts*, we own the information and the full process applies; for Technical Assistance Centers funded by *grants or cooperative agreements*, they own the information and the full process does not apply. However, as with all grantees, SAMHSA asks that they do the following:

a) Notify OC and the Government Project Officer in advance of publication of relevant articles in peer-reviewed journals, providing advance copies;
b) Include acknowledgment of SAMHSA as funding source for the project;
c) Include a disclaimer indicating that the product does not necessarily reflect the views of SAMHSA or HHS; and
d) Enable SAMHSA to produce a press release, if warranted.

Specific language for acknowledgment of SAMHSA and a disclaimer should state the following: *"This paper/report/etc. was developed [in part] under grant number XXXX from the Substance Abuse and Mental Health Services Administration (SAMHSA), U.S. Department of Health and Human Services (HHS). The views, policies, and opinions expressed are those of the authors and do not necessarily reflect those of SAMHSA or HHS."*

Grant Announcements: Language Related To Print Products

I'm writing a grant announcement. My grantees may well want to publish some products as the result of their work. Is there anything special I should know or do?

As noted elsewhere, grantees are under no obligation to clear products prior to production and dissemination. However, it is customary for grantees to acknowledge the funding source and to indicate that the views presented are not necessarily those of the funding entity. Finally, to help promote the work that SAMHSA does, when grantees publish journal articles in peer-reviewed journals, SAMHSA appreciates the opportunity to review the publication in advance and determine whether to issue a press release on the publication's findings.

The following language is suggested for inclusion in grant announcements.

"With respect to print products developed under this grant program, applicants who compete successfully for this grant are requested to:

Notify SAMHSA Office of Communications and GPO in advance of publication of any articles about the project or data therefrom that are accepted for publication in peer-reviewed journals, providing both with advance copies.

Include an acknowledgment of the SAMHSA grant program as the source of funding for the project as well as a disclaimer. The language should state:

"This paper/report/etc. was developed [in part] under grant number XXXX from the Substance Abuse and Mental Health Services Administration (SAMHSA), U.S. Department of Health and Human Services (HHS). The views, policies, and opinions expressed are those of the authors and do not necessarily reflect those of SAMHSA or HHS."

SAMHSA reserves the right to issue a press release about any article appearing in the peer-reviewed literature that it deems to contain information of program or policy significance to the [substance abuse treatment/substance abuse prevention/mental health services] community."

Logos/Organizational Identification

What's the official logo for use on SAMHSA products and when is it used?

In the spirit of one HHS and one SAMHSA, the official logo to appear on the front covers of products (or as appropriate on such items as posters, jewel cases, etc.) is the "Bird plus Words" logo. Electronic versions of the logos for each Center/Office are on the SAMHSA Intranet. The "Bird plus Words" shall *not* be used on items that could suggest Departmental endorsements (as in some give-aways at conferences supported, but not organized by SAMHSA).

We have a special graphic associated with our program. Can we use it on our products? Where and under what conditions, if any?

Program icons are permissible on approved SAMHSA communications products. However, they may not be more prominent or dominant than the "Bird plus Words" logo. They may have the name or acronym of the program, but not the name of the Center, Division or Branch. Program icons *are* permissible in lieu of the "Bird plus Words" on such items as badges, name tents, and other small items used at conferences; they also are permissible on approved "give-aways".

Newsletters and Other Periodicals

Can our program develop and disseminate a newsletter or other periodical publication?

SAMHSA generally limits the number of newsletters and other periodicals developed across its Centers/Offices, since much information proposed in such products can be made available through SAMHSA news and other SAMHSA-wide products and dissemination channels. However, a well-justified periodical (such as a newsletter) may be approved for inclusion on the PCMS and reassessed annually for future fiscal years.

If a newsletter or periodical is on the PCMS, what additional steps are needed?

As any proposed product, a planned newsletter or other periodical requires *annual* approval through the HHS communications planning and clearance process. Once a "template" for the proposed periodical is developed, few, if any, changes will be required for subsequent submissions through the planning and clearance process, unless significant changes in the product (including audience, size, scope, etc.) are intended.

Are there any special conditions that must be met?

The publication planning and clearance package (HHS-615) to develop and disseminate any newsletter or other periodical must include a memorandum, signed by the SAMHSA Administrator, justifying its utility as follows:

"I certify that [fill in name of proposed newsletter or other periodical] is unquestionably necessary in the conduct of the public business as required by law of SAMHSA and that all mailing lists used in its distribution have been purged within the last12 months. I further certify that [fill in name of proposed periodical] will carry no advertising, nor shall its content be such that it might be perceived as being political or aggrandizing in nature. It will not even remotely infer or imply that the Government favors or endorses any individual, organization, or private-sector serve or product. And it will not advocate or publish positions on matters that may be the subject of pending legislation."

Paper

Are there particular paper stocks to be used?

SAMHSA uses nonlithocoated stock for all covers. Typical paper specifications for SAMHSA documents are 60-pound white offset text stock for the content and 50-pound white or color vellum cover stock for the cover.

Plain Language

Are there any special editorial considerations related to the tone and "feel" of the document that need to be taken into account when developing a product for publication?

A Government-wide directive requires Federal Agencies to use plain language in all communications with the public. Plain language is writing geared to the target audience (thus, a plain language document for a scientific audience may be different from a plain language document for the general public). Plain language is grammatically correct, with accurate word usage. It is clear and expresses exactly and concisely what readers need to know.

Print vs. Audiovisual Product

Please clarify the difference between a print product requiring clearance using Form HHS-615 and an audiovisual product requiring clearance using Form HHS-524A.

CDs and DVDs containing print materials are considered "print products" requiring an HHS-615. A CD or DVD with video or audio is considered an audiovisual product, requiring an HHS-524A. PowerPoint slide shows are considered print products.

Printing Issues

Who may print my products?

All printing and binding must be done by the Government Printing Office or under a GPO-approved contract, unless 1) a specific statutory authority permits the purchase of printing without GPO authority, or 2) a waiver is obtained from the Congressional Joint Committee on Printing or from the GPO. This also applies to printing services offered by graphic design contractors or other service/support contractors. *Agencies cannot contract for printing directly or request grantees or contractors to do the printing for them.*

I thought that contractors could print, as long as they do not exceed 25,000 impressions of any product?

According to Federal printing and binding regulations, *contractors and grantees* are prohibited from "printing primarily for a department or agency." Thus, production for use of any kind beyond SAMHSA may NOT be undertaken in ANY quantity by contractors. The 25,000 impression limitation refers to products required by the SAMHSA program officer for use by and only by SAMHSA, not for distribution to a wider audience.

The language states: *"A requirement for a contractor to duplicate less than 5,000 units of only one page, or less than 25,000 units in the aggregate of multiple pages for use of a department or agency, will not be deemed to be printing primarily or substantially for a department or agency."*

NOTE: Further information is in The Government Printing and Binding Regulations, Item 35-1.

Can I mark a product "draft," have it Xeroxed or printed, and distribute it at conferences?

No. The product needs to be on the PCMS, approved through the OASPA communications planning and clearance process and through the SAMHSA manuscript clearance process before it may be printed in *any* form. Except for specific peer review or focus group assessments, drafts are *not* to be circulated.

Private-Sector Products Being Included in SAMHSA Communications Materials

I have a wonderful pamphlet from a private organization that I would like to include in a SAMHSA information package on the same topic. What if the organization is willing to give me the copies? What if it gives me permission to print them at Government expense?

From time to time, private organizations donate and permit SAMHSA to distribute high-quality materials solicited by SAMHSA for inclusion in a SAMHSA communications effort (e.g., private-sector videotapes in Older Americans Kit and in Children of Alcoholics Curriculum). Those products remain in the private sector and are subject to copyright laws. SAMHSA program staff should have a letter on file from the private organization that grants SAMHSA permission to distribute these donated products at will. Any packaging for these products must designate that they are copyrighted and that the sole authority for copying them is with the private organization, not SAMHSA. A standard disclaimer must be included in the packet to indicate that these products are not SAMHSA's; that SAMHSA is not responsible for the content, nor does the content necessarily reflect the views, opinions, and policy of SAMHSA. SAMHSA may *accept* copies for distribution; however, SAMHSA may *not* print the products at Government expense.

Prohibition Against Lobbying/Advocacy

SAMHSA has indicated that we cannot publish any content that may appear to be "lobbying" or "advocacy." What is meant by these terms?

Any language in a manuscript that *might* be construed as advocating a specific position on an issue being deliberated in the Federal or State legislatures is prohibited. According to statute, no appropriated funds may be used to—

- √ Prepare editorials or other communications for dissemination without an accurate disclosure of the Government role of its origin;
- √ Appeal to members of the public to contact their elected officials at the Federal or State levels in support of or opposition to a proposal before Congress or a State legislature.

Reprints vs. Revisions

What is the difference between printing a reprint of a previously cleared product and undertaking a revision of such a product?

In 1995, the Department granted authority to the Agencies to approve publication of both reprints *that had previously been through Departmental clearance* and of internal documents (defined as fewer than 50 copies of a document not used outside SAMHSA).

For reprint requests, program staff should provide to OC a copy of the original approved HHS-615, an addendum noting changes in printing specifications and costs, and a copy of the publication proposed for reprinting. Before submitting a reprint request, the program staff should review the publication carefully for erroneous and/or outdated material, including the absence or inappropriate use of names/logos other than those sanctioned by OASPA.

Timelines and Tracking Products Through Clearance

How long should I wait before doing a status check of the HHS-615/524A or SMA-120 that I have submitted?

You should check with your Center/Office Publication Coordinator on a regular basis. S/he can tell you whether the product packet has left your Center/Office. By checking with OC, s/he can tell you whether a clearance package has left OC and is pending at OASPA. SAMHSA OC regularly checks the status of clearances with OASPA and of manuscript review by other OpDivs. SAMHSA OC asks that neither program staff nor Center/Office Publication Coordinators contact OASPA directly at any time. Anticipate 2 weeks for OC to manage an HHS-615/524A, and 3 weeks for a manuscript and the accompanying SMA-120.

Translations

I have a product I want to translate into another language. Shall I just task our materials development contractor to do this translation? If it has been the subject of concept clearance in its English language version, do I need to clear this translation?

SAMHSA does not translate products into languages other than English. It adapts products. See *Adaptations to Languages Other than English*.

Appendix A: Forms

HHS-615

HHS-524/524A

HHS-26