

DOE STIP Meeting

November 3-4, 1999

Welcome - Karen Spence opened the meeting and welcomed attendees (see [attendee list](#)), who included representatives from Headquarters Programs, Operations Offices, National Laboratories, and other DOE contractor facilities.

STI Accomplishments and New Challenges - Chuck Morgan noted that the STIP partnership is key to making scientific knowledge accessible to the scientific community and making it visible to the public. He recognized particularly the successful transition to an electronic environment from the traditional 54-year-old paper-based process and the collaborative nature of the effort, which marked a revolutionary change in the day-to-day STI practices of everyone in the STIP group. This achievement earned the STIP Community a 1999 Hammer Award from the National Partnership for Reinventing Government (NPR). Chuck then presented Hammer Award certificates to the following individuals who represented the 96-member STIP community: Kathy Macal, of the STI Managers; Carol Duncan, of the STIP Working Group; and Dennis Gound, of the Technical Information Officers. All sites present at the STIP meeting received a commemorative plaque. Chuck noted that, in this fast-paced information age, STIP must continue to be proactive, innovative, and resourceful. He challenged the group to improve STI in the following five specific areas:

- 1.** Improve quality of announcement records submitted and routinely provide STI electronically. With a majority of the national laboratories and major contractor facilities using E-Link, OSTI is now receiving over 75 percent of the announcement records electronically and over 30 percent of the full-text STI products in electronic formats or URLs. One lesson learned by OSTI was that machine-aided indexing just didn't work. For FY 2000, the report processing was outsourced to reduce the level of OSTI resources. Another significant change in the near future will be to cease abstracting and indexing for DOE STI. Once implemented, records received without optional fields (keywords, subject categories, or an abstract) will be released into InfoBridge and other products (as appropriate) more expeditiously to timely announce the STI. More information on the implementation and anticipated impacts will be provided at future STIP teleconferences.

- 2.** Add legacy collections to Information Bridge to continue to make it a more comprehensive collection of full-text accessible STI. Through our partnership, via the DOE Information Bridge, 50,000 technical reports and over 3 million full-text pages of DOE's R&D results are now accessible and searchable online. The inclusion of legacy

information is now a primary focus. Legacy information is being added in cooperation with specific sites (Fermilab and LANL at present). Sites that have scanned legacy documents are encouraged to inform OSTI. In the coming months, OSTI will be actively seeking opportunities to include more full text STI in the DOE Information Bridge.

3. Ensure that classified and limited STI documents are included in the STI collection. Much of our focus the past couple of years has been on publicly releasable STI and, most recently, on software. The management of STI includes all categories. Classified STI and various limited STI should not be overlooked but should also be announced to OSTI. Our efforts this year will focus on improving this area.

4. Expand coverage through the E-Journal initiative. The recent unveiling of PubSCIENCE makes the e-journal initiative even more relevant. By having the electronic journal consortium agreements in place, access to full-text journals is made possible from the PubSCIENCE citation search.

5. Take advantage of the R&D Accomplishments database and web site to make your laboratory's accomplishments known in an easily retrievable format. R&D Accomplishments provides a forum to display the tangible results made by DOE's R&D programs.

Product Announcements and Demonstrations - Sharon Jordan announced the following new OSTI products, which were demonstrated by Rita Hohenbrink:

1. PubSCIENCE (<http://pubsci.osti.gov>) lets users navigate across hundreds of bibliographic citations from multiple scientific journals and link to full text provided by the publishers. It was unveiled October 12 in a ribbon-cutting event at DOE Headquarters. PubSCIENCE has gained the interest and support of many prestigious publishers, and it currently offers access to over 1,000 separate journal titles. The STIP e-journal collaboration for consortium license agreements is even more relevant by providing the full text links to journals from citations located in PubSCIENCE. Increasing journal coverage for scientific publications of interest to DOE is an ongoing effort.

2. ETDEWEB (<http://www.etde.org/ETDEWEB/>) is the ETDE World Energy Base, an international product similar to the DOE Information Bridge. Ribbon cutting will be held November 16 in Paris. It features changes that are upcoming for the "next generation" version of the DOE/DOE Contractor and Public Information Bridges, based on the new metadata fields and improved search and display screens. DOE and contractors can obtain access to the ETDE version if desired.

3. EDBWeb (<http://www.osti.gov/edbweb/>), a web version of the Energy Science and Technology Database (familarly called "EDB"), is currently in testing stage. It contains 3.8 million citations from 1974 through 1998, presented in the Dublin Core-based data structure. When the product is completed, OSTI intends to offer the full EDB, updated regularly, to DOE and contractors without charge. The product will be available in December.

4. PrePRINT Network (<http://www.osti.gov/eprints>) is a new project aimed at making distributed sources of preprints searchable and accessible through a central interface. Preprints are viewed as the 3rd component of STI, complementing the gray literature in InfoBridge and journal publications now accessible through PubSCIENCE. OSTI will soon be lining up alpha and beta testers.

5. EnergyPortal Search on EnergyFiles (<http://www.osti.gov/EnergyFiles/>); then choose Energy Portals Search) allows a distributed search to be conducted with one query. A searcher can use EnergyPortal to search across as many as 25 databases and over 450 web sites.

6. R&D Accomplishments (<http://www.osti.gov/accomplishments>) was unveiled in March to increase the visibility and recognition of past DOE R&D. A new feature is the "snapshots" page, intended to complement the database by offering links to overviews, pictures, web pages, and other brief forms of information about accomplishments. The items listed report the outcome of past R&D that had a significant economic impact, improved lives, or is widely recognized as a significant scientific advancement. (See [viewgraphs](#) showing the DOE laboratories or other DOE elements that have either authored an accomplishment report or are mentioned within a report or snapshot.) Submissions of such material to OSTI are welcomed. Mary Du Rea is the product manager. For additional information about any of these products, contact the respective product managers or the STIP group at OSTI.

Status of Task Forces and Special Interest Groups

Changes in Software Management - Sharon Jordan reported on the completed work of the Software Transition Subgroup (see [viewgraphs](#)). The group, led by Cindy Crego of Fermilab, was formed in November 1998 to transition the software procedures to the electronic environment as had been done for other STI products. The revision to Part III of the Guide (see the draft revised Guide for proposed changes) represents the collective effort of this group, which has now been completed. Noteworthy changes include combining multiple software submission forms into one new form similar to the DOE F 241.1 and accepting URLs in lieu of software if the software meets criteria for freeware/shareware.

STI Information Modules as a Distance Learning Tool - Kathy Waldrop discussed the possibility of using a DTIC STIP Distance Learning Tool to create a DOE STIP Distance Learning Tool. The interest in having such a tool still remains, therefore OSTI will participate as a beta-tester of the DTIC STIP Distance Learning Tool. The results of the beta-test and the potential for forming a Task Force to conduct a feasibility study to create a DOE STIP Distance Learning Tool will be discussed at a future STIP teleconference.

Information Module III: STI Best Business Practices - Ruth Belanger (YMP) presented a brief overview of the processes used to compile Information Module III. The rationale for the structure and the information was discussed. Information Module III includes general directions pointing the user to the DOE Order and Guide, a section on sensitivity reviews, and a section on electronic formats. The STIP partners responded favorably to the information provided.

E-Journals: New Agreements - Carol Backhus (LBNL) provided an [update](#) on the E-Journal SIG activities. The Group is using existing survey information on 22 sites to provide demographics to publishers to encourage additional publisher involvement in the collaborative arrangement. Additionally, plans are under way to contact non-participating Departmental sites individually in an effort to expand DOE participation in the consortia as well. The Elsevier/LANL arrangement will include 11 participating sites by the end of the calendar year, with one additional site pending. An Elsevier Title Review Working Group was recently formed whose interest is to expand the number of titles available to DOE. The Group is analyzing information requested from DOE sites regarding current subscription cycles and Elsevier titles to determine how to leverage ongoing agreements. Discussions are ongoing with DOE's Integrated Contractor Purchasing Team to determine if their coordination of SIG interests would be advantageous to the Group.

Report from the October LOWG Meeting - Randy Hoffman (ORNL) summarized points of interest from the Library Operations Working Group (LOWG) meeting relevant to the STIP community. LOWG members have been active in the STIP goal groups ; of particular value to LOWG members is access to online journals. NTIS is an important resource to LOWG, which expressed concern about the potential discontinuation of services provided by NTIS particularly for full text copies of government reports; OSTI was encouraged to support and represent their needs in Agency responses to the draft legislation. LOWG also cited the importance of international literature and encouraged OSTI to continue efforts to provide access to international literature within DOE scope. Libraries are providing more information at the desktop, as desired by researchers and other users. LOWG fully supports OSTI's initiative for the new EDBWeb product and recommended that OSTI and the STIP community involve the library community as key information resources in various STI

initiatives.

DOEDIR Concept Paper: R&D Visibility - Karen Spence reviewed the purpose and past efforts of the R&D Visibility Working Group. The history involved EnergyFiles and the distributed search capability that served as a foundation for a virtual library with one-stop shopping, prompting OSTI's vision of a National Library of Energy Science and Technology. After sharing the idea at the May 1998 InForum meeting, many questions remained about resource requirements, working relationships, users, and content. The DOE R&D Visibility Working Group was then formed to tackle these issues. At the November 1998 STIP Meeting, a subgroup (members: Dennis Hall, LBNL; Kathy Macal, ANL; Lois Holmes, PNNL; Beth Perry, Amarillo; Barbara Ashdown, ORNL) was tasked to investigate further. This group prepared the Analysis of Users, Benefits, Content, and other information reported at the May 1999 STIP meeting. In the last few weeks, two things have occurred: (1) the subgroup compiled the May information into the draft concept paper provided here, and (2) at the PubSCIENCE Ribbon cutting, Dr. Martha Krebs endorsed the concept, stating that "with this exceptional suite of electronic products to guide us into the new millennium, the concept of a national library of energy science and technology could become a key initiative in the realization of the Secretary's vision of a Department of Energy working for the American people."

The paper outlined the collective thoughts to-date on this concept. Opportunities exist to increase public recognition of DOE R&D by enhancing visibility of DOE's accomplishments and to improve access to STI by the global scientific community. Strategies are to develop and operate a DOEDIR of selected information resources of the STIP community, using a Web-based foundation. It would be operated by a consortium through a new level of STIP partnership, not requirement. The objectives are increased visibility and improved access. Management would be consortium-based with OSTI providing federal oversight and facilitation. DOEDIR has a relationship to TIMP, but goes beyond compliance to a new level of partnership. The consortium structure was defined, as well as how decisions on proposals would be handled. The Head of DOEDIR is federally funded (role included seek funding; by laws were developed for the draft charter). The concept also addressed proposals, funding sources, peer review, implementation, and monitoring. Attachments provided the Audience/Info/Benefits; Summary Benefits; and Potential Participants.

After the summary of the concept paper, an open discussion was held. OSTI stated its belief in the concept as being the right thing to do. Our focus is on the Department and its customers, not individual lab roles. There is high-level endorsement of the concept and high hopes for funding endorsement as well. Collaboration has its good points, but progress is slow due to different missions and priorities.

The STI Managers agreed with the concept of linking distributed resources, but stated a

significant concern for the bureaucracy of consortium structure. Other stated concerns from the labs dealt with costs, resources, users, and mission. A commitment was made to re-direct user inquiries to OSTI to relieve concerns of resource burdens. It was noted that, with the electronic STI and Web developments over the past couple of years, we are close to declaring victory.

At the close of the discussion, the following agreements were reached:

- The STIP Community endorses the idea of a web site (with links and search tools) for one-stop shopping for DOE information.
- The basics of the concept paper should not be lost, but avoid the bureaucracy.
- OSTI is to move forward and pursue the concept.
- OSTI will seek funding to support web service component.
- STIP will serve as an Advisory Council for OSTI, to be asked for feedback on new initiatives and collection development, which OSTI will consider in the decision-making process and will give formal feedback.
- OSTI and STIP will consider standards/principles for sharing, similar to Best Business practices.
- Get OSTI more visible on DOE Home Page and Web.
- Nobody likes DOEDIR name; another one will be chosen that people will recognize (example: Digital Library Program).
- Various media types should be included for content.
- Consider users and their technical capabilities.

OSTI will pursue the effort and pursue better ways to get feedback on new development and existing products.

Classified, Declassified, and Limited STI Issues and Activities - Sharon Jordan reminded the group that STIP and the STI objectives, requirements, and procedures apply not only to unclassified/unlimited STI but also to classified, declassified, and limited STI (see [viewgraphs](#)). A focus of OSTI in the next year will be to strengthen coverage of these forms of STI. Several issues were raised regarding providing access to limited STI and the recent initiatives related to information security, such as export control. It was suggested that a team of interested parties be created to look at issues and work toward improving guidance and/or facilitating communication across various DOE elements.

Special Character Sets - Now and in the Future - Rita Hohenbrink described the existing problem of multiple special character sets being used in exchanging electronic STI metadata and full text (see [slides](#) and [handout](#)). It was agreed that the issue was appropriate for a STIP special interest group to investigate and make a recommendation. Several attendees volunteered to participate and to provide names of

participants from their organizations. Rita will convene a teleconference of those who indicated interest.

ETDE/International Program Update - Chuck Morgan provided an overview of OSTI's International Program and related activities (see [viewgraphs](#)). Due to budget constraints, OSTI solicited STIP input and support on the value of international STI to the success of the DOE mission. STI points of contact provided input on the benefit of having international STI as a component of the STI collection and agreed to voice support where possible as a continued activity of OSTI's STI Program.

Potential Impacts of the Possible Closure of NTIS - Karen Spence gave an update on OSTI's activities to ensure that issues and potential impacts related to the possible closure of NTIS are addressed. She also noted the status of the Commerce Department's draft legislation and OSTI's involvement in DOE's comment process. OSTI is involved through the interagency STI forum called CENDI, as well as interagency agreements with NTIS and GPO that fulfill DOE mandates, which historically dealt with paper or microfiche but now are handled with electronic full-text access through the Information Bridge. The draft Commerce legislation has prompted much testimony and informal comments/response. OSTI's comments focused on having a central point of access, not a centralized collection. Other concerns of the draft legislation were the seeming redundancy between GPO and the Library of Congress: Executive vs. Legislative powers; service to paper copy requesters; the definition of unclassified and unlimited STI, not nonclassified; the disposition of the NTIS archives and assets held in trust; the mandated 5-year agency availability; and the proposed annual IG reporting. While OSTI is commenting on draft legislation, OSTI plans to continue Information Bridge and include legacy data by converting paper to electronic. The provision of EDBWeb for DOE will also help ameliorate potential impacts.

WAS Order Revision Follow-up - Susan Tackett noted that the Work Authorization System (WAS) Order was revised and reissued as DOE O 412.1 by the Office of Field Management in April 1999. The Order was effective 10/1/99. Implementation is to coincide with the FY2000 budget process. New requirements cited in the Order that impact STI were highlighted and discussed. OSTI implementation strategies were related including modification of both the paper and web-based 241.1 announcement form to accept field work proposal and work authorization number information as well as software changes to manage the data across multiple systems. It was acknowledged that implementation strategies will vary across sites to include the additional information on DOE announcement records. Sites were encouraged to share strategies and procedures to provide the data as new processes are defined to foster use of best practices (see [viewgraphs](#).)

Overview and Demonstration of the EWAS System - Mary Rawlins, Program Manager for the Office of Energy Efficiency and Renewable Energy, at Oak Ridge Operations Office, provided an overview of the DOE Electronic Work Authorization System (EWAS). Michael Fielden, ORNL, subsequently demonstrated the application. The EE-developed pilot, funded by the Office of Transportation Technology (OTT), was designed to facilitate the transfer of funds from DOE HQ to the various Operations/Field Offices and DOE contractors. The existing paper version of the work authorization can be completely replaced with this electronic version. The system is currently being piloted in OTT with subsequent use planned throughout EE and DOE if interest warrants.

Discussion followed indicating that DOE implementation of this system is the needed link between FWP submission and the R&D Tracking Database to accomplish corporate life-cycle management of R&D-funded projects performed by designated management and operating (M&O), management and integrating (M&I), and environmental restoration management (ERMC) contracts. The combined entities would provide the ability to track all aspects of the work authorization from initiation to final approval through final implementation; could be linked to related STI full-text deliverables via EnergyFiles, InfoBridge, and PubSCIENCE; as well as to project results in the R&D Tracking Database System. The decision is pending regarding Departmental implementation.

Review of Proposed Guide Changes - Kathy Waldrop led a review and discussion of the draft Guide revisions (see [revised guide](#)), which included recommendations from the STIP community. The primary revisions are the replacement of Part III to incorporate the software changes, as well as placing additional emphasis on guidance for export controlled, sensitive or classified STI. Other revisions are editorial or information updates. In an attempt to avoid the burden of addressing major issues during the formal Sunset Review process beginning January 2000, the STIP meeting participants were asked to address concerns during the meeting or to submit additional recommendations to Kathy Waldrop no later than December 3.

Removing Barriers to the Electronic Transition - Sharon Jordan indicated that, of the over 40 sites routinely announcing/submitting STI, only two of the smaller DOE contractor sites are not sending metadata records electronically (see [chart](#)). However, several sites have not transitioned to providing electronic full text. The transition to electronic has required effort equally on the part of OSTI and on the various STI originating sites.

New Features of E-Link - Rita Hohenbrink noted that an improved user interface is under development. Features will include the capability to retrieve and revise records to ensure that quality of the metadata can be maintained. For example, one typical

problem is a bad URL or filename, causing an error in matching the full-text. The E-Link user group will be supplied access to the draft user interface by the end of November in order to review and provide comments. Lynn Davis, E-Link Product Manager, will discuss the new features with the users at the next teleconference.

Case Studies - Individuals from four sites shared information about their respective experiences in making the electronic transition. (1) Carol Backhus (LBNL) explained that the LBNL Library has created a facility for gathering bibliographic data and full-text files electronically (see [viewgraphs](#)). The data is then loaded into a database and reformatted into various products such as: a patent clearance form; web screens; email to printing coordination, report coordination, and reprint ordering. The database information is automatically formatted into DOE Form 241.1 SGML format and transmitted to OSTI via E-Link. (2) Carol Duncan (LLNL) presented LLNL's process of delivering STI to the Web. LLNL has provided authors step-by-step instructions for Web submittal. They have 28,000 PDFs on their Web site. Currently they use the web 241.1 for announcing to OSTI, but they are working on using the batch 241.1 form submittal in future. (3) Chris Forbes, representing Bechtel Hanford, Inc. (BHI), made a [presentation](#) that identified one contractor's initiatives and activities in support of the STIP goal to implement protocols for electronic development and dissemination of STI. The presentation showed how BHI has eliminated all hard copy transmittals to OSTI. Relying primarily on generation of metadata files in PDF, BHI only sends a metadata record to OSTI. The record contains a unique URL for each document, and the URL is accessed through the Electronic Library that is available through the Richland Environmental Restoration Project web site. (4) Dave Hamrin (ORNL) described their commitment made in FY 1999 to begin the transition to electronic STI, as indicated in an ORNL performance measure and a [memorandum](#). Although the effort has had its ups and downs, ORNL is now making progress both in their internal procedures and in their submittal of electronic STI using the PDF format.

Current Issues - Sites that are still struggling to make the electronic transition were encouraged to learn from the experiences of others such as those shared. It was noted that OSTI's focus this year will be electronic full text, since electronic metadata has become more routine. No other issues were raised, but it was noted that the E-Link User teleconferences have been helpful.

Summary and Next Steps - Before closing the meeting, an [open discussion was held, where a few additional topics were raised](#). Travel restrictions are an ongoing issue. Mary White suggested only annual STIP meetings be held, along with regular teleconferences. Kathy Macal agreed to the annual meeting suggestion and recommended it would be more cost-effective if held at a travel "hub" rather than in Oak Ridge. There was also discussion on the value of InForum. OSTI will make a decision on next spring's InForum meeting within the next few weeks. Feedback needs

to be gathered; Kathy Macal suggested polling the STI community to see how many will be planning to attend InForum. For anyone having questions on handling radioactive leather log books, Kathy Macal may be contacted.

Karen Spence then summarized the following accomplishments and agreements of the meeting:

- We shared in recognition of STIP collaboration success.
- We were challenged to focus on electronic transition, full text, classified information, e-journal expansion, and R&D Accomplishments.
- Several new and upcoming STI tools/resources were demonstrated.
- We agreed to endeavor to have these tools/resources more prominently linked on the DOE Home Page.
- We agreed to push forward with software management changes, pursue distance learning tools, continue e-journal initiative, and work on best business practices.
- LOWG is a key resource for reaching researchers, and we are addressing LOWG's concerns related to NTIS and international information.
- STIP endorsed the concept of a web site for linking DOE's distributed electronic information resources, and OSTI will pursue this effort.
- OSTI agreed to pursue better feedback mechanisms for ideas on products/services using STIP as an "Advisory Council."
- STIP agreed to spend some time considering classified, declassified, and controlled access information.
- STIP agreed to identify participants to address Special Character Sets.
- We learned the status and importance of the Work Authorization System and had good demonstration of the EWAS system; encouraged to share info with your contacts and plans to pursue adoption by the CFO.
- We committed to get Guide changes identified by December 3 in order to start the Formal Sunset Review.
- OSTI agreed to consider mechanisms for announcing ECI and similar information for the US Public.
- OSTI summarized changes to E-Link which will hopefully make things easier on users.
- We committed to solicit feedback and make a decision regarding InForum.
- We heard that, related to the E-Journal consortium, some sites are having trouble with vendors, thus the need to reinforce with sales staff that Consortium deal isn't the only route.

The meeting closed with our thanks to meeting hosts Janine Ford and Dechelle Christmas of the Nevada Operations Office. They provided a great deal of support and excellent logistics, as well as arranging the optional tours. OSTI also thanked all STIP attendees for coming and participating in the discussion which made for an excellent meeting. Meeting was then adjourned.

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STIP Archive	E-Link	OSTI Home	DOE Home	STIP Home	DOE Order 241.1A DOE Guide 241.1A-1