

**U.S. DEPARTMENT OF ENERGY  
ANNOUNCEMENT OF DEPARTMENT OF ENERGY (DOE)  
NON-M&O/M&I SCIENTIFIC AND TECHNICAL INFORMATION (STI)**

**DRAFT**

**RECORD STATUS**

New 241.3  Revised 241.3  Revised STI Product

**Part I: STI PRODUCT DESCRIPTION** (To be completed by Recipient/Contractor)

**A. STI PRODUCT IDENTIFIERS**

- 1. Report/Product Number(s) \_\_\_\_\_
- 2. DOE Award/Contract Number(s) \_\_\_\_\_
- 3. Other Identifying Number(s) \_\_\_\_\_

**B. RECIPIENT/CONTRACTOR** \_\_\_\_\_

**C. STI PRODUCT TITLE** \_\_\_\_\_

**D. AUTHOR(S)** \_\_\_\_\_

E-mail Address(es): \_\_\_\_\_

**E. STI PRODUCT ISSUE DATE/DATE OF PUBLICATION** (mm/dd/yyyy) \_\_\_\_/\_\_\_\_/\_\_\_\_

**F. STI PRODUCT TYPE** (Select Only one)

1. **Technical Report**  Annual  Final  Other (specify) \_\_\_\_\_

2. **Conference Paper**

a. Conference Information (title, location, dates) \_\_\_\_\_

3. **Software Manual** (The actual software package should be made available simultaneously to the Energy Science and Technology Software Center (ESTSC). Follow instructions provided with DOE F 241.4)

4. **Journal Article**

a. Type:  Announcement Citation Only  Preprint  Postprint

b. Journal Name \_\_\_\_\_

c. Volume \_\_\_\_\_ d. Issue \_\_\_\_\_ e. Serial Identifier (e.g. ISSN or CODEN)

5. **Other, specify** \_\_\_\_\_

**G. STI PRODUCT REPORTING PERIOD** (mm/dd/yyyy) \_\_\_\_/\_\_\_\_/\_\_\_\_ thru \_\_\_\_/\_\_\_\_/\_\_\_\_

**H. SPONSORING DOE PROGRAM OFFICE** \_\_\_\_\_

**I. SUBJECT CATEGORIES** (list primary one first) \_\_\_\_\_

Keywords \_\_\_\_\_

**J. DESCRIPTION/ABSTRACT** \_\_\_\_\_

**K. INTELLECTUAL PROPERTY/DISTRIBUTION LIMITATIONS** (must select at least one; if uncertain contact your Contracting Officer (CO))

1. **Unlimited Announcement** (available to U.S. and non-U.S. public)

2. **U.S. Dissemination Only** (please justify why this limitation is necessary: \_\_\_\_\_)

3. **Copyrighted Material:** Are there any restrictions based on copyright?  yes  no. If yes, list the restrictions \_\_\_\_\_

4. **Patentable Material: There is patentable material in the document.**

Invention Disclosure submitted to DOE:

Recipient/Contractor Docket Number: \_\_\_\_ ; DOE Docket Number: S- \_\_\_\_\_

(Sections are marked as restricted distribution pursuant to 35 USC 205)

5. **Limited Rights Data on pages** \_\_\_\_\_

(The recipient/contractor may be more familiar with the term Proprietary Information. However, only information that was developed at private expense outside of this award/contract may be marked as Limited Rights Data pursuant to the terms of the award/contract. Please refer to your award/contract for more detail.)

6. **Protected Data:**  CRADA If other, specify \_\_\_\_\_ Release date (mm/dd/yyyy) \_\_\_\_/\_\_\_\_/\_\_\_\_

7. **Small Business Innovation Research (SBIR) Data**

Release date (mm/dd/yyyy) \_\_\_\_/\_\_\_\_/\_\_\_\_ (Required if applicable; no more than 4 years from date listed in Part I.E. above.)

8. **Small Business Technology Transfer (STTR) Data**

Release date (mm/dd/yyyy) \_\_\_\_/\_\_\_\_/\_\_\_\_ (Required if applicable; no more than 4 years from date listed in Part I.E. above.)

9. **Export Controlled**

a. Classification List and Export Control Classification Number (ECCN): \_\_\_\_\_

**\_\_\_ 10. Classified/Controlled Information**\_\_\_ a. **Classified:** Classification Level/Category of:

1. This form \_\_\_\_\_ 2. The STI Product \_\_\_\_\_

\_\_\_ **Unclassified Controlled Nuclear Information (UCNI)****\_\_\_ 11. Other Special Access**\_\_\_ a. **Official Use Only (OUO)**\_\_\_ b. **Program-Directed Special Handling** \_\_\_ AT \_\_\_ Other (specify) \_\_\_\_\_\_\_\_ c. **Other exceptional information that would restrict announcement of this STI product.** (specify) \_\_\_\_\_**L. RECIPIENT/CONTRACTOR POINT OF CONTACT**

Contact for additional information (contact or organization name to be included in published citations and who would receive any external questions about the content of the STI Product or the research contained therein)

Name and/or Position \_\_\_\_\_

Email \_\_\_\_\_ Phone \_\_\_\_\_

Organization \_\_\_\_\_

**Part II: STI PRODUCT MEDIA/FORMAT and LOCATION/TRANSMISSION (To be completed by Recipient/Contractor)****A. MEDIA/FORMAT INFORMATION:**

1. Medium of STI Product is: \_\_\_ Electronic document \_\_\_ Computer medium \_\_\_ Audiovisual material \_\_\_ Paper \_\_\_ No full-text

2. Size of STI product \_\_\_\_\_

3. File format:

a. If electronic document is posted at site, indicate: \_\_\_ SGML \_\_\_ HTML \_\_\_ XML \_\_\_ PDF Normal

b. If electronic document is transmitted to OSTI, indicate: \_\_\_ SGML \_\_\_ HTML \_\_\_ XML \_\_\_ PDF Normal

\_\_\_ PDF Image \_\_\_ WP-indicate Version (5.0 or greater) \_\_\_\_\_ Platform/operating system \_\_\_\_\_

\_\_\_ MS-indicate Version (5.0 or greater) \_\_\_\_\_ Platform/operating system \_\_\_\_\_ Postscript \_\_\_\_\_

4. If computer medium or audiovisual material:

a. Quantity/type (specify) \_\_\_\_\_

b. Machine compatibility (specify) \_\_\_\_\_ c. Sound: \_\_\_ (yes) d. Color: \_\_\_ (yes) e. Tables/Graphics \_\_\_ (yes)

f. Other information about product format a user needs to know: \_\_\_\_\_

**B. LOCATION/TRANSMISSION INFORMATION:**

1. STI Product is available at site: Unique URL (of specific STI Product) \_\_\_\_\_

2. STI Product is being transmitted to OSTI:

a. \_\_\_ Electronically via file transfer protocol (FTP)

b. \_\_\_ Via mail or shipment (e.g., Federal Express) (Paper products, electronic documents on CD-ROM, diskettes, videocassettes, etc.)

3. Information Product Filename (of transmitted electronic format) \_\_\_\_\_

**Part III: STI PRODUCT REVIEW/RELEASE INFORMATION (To be completed by DOE)****A. STI PRODUCT REPORTING REQUIREMENT REVIEW.**

\_\_\_ 1. This deliverable completes all required deliverables for this award.

\_\_\_ 2. This deliverable fulfills a technical information reporting requirement, but should not be disseminated beyond DOE.

**B. DOE RELEASING OFFICIAL**

\_\_\_ I verify that all necessary reviews have been completed as described in DOE G 241.1-1, Part II, Section 3.0 and that the STI product should be released in accordance with the Intellectual Property/Distribution Limitation above.

Released by (name) \_\_\_\_\_ Date (mm/dd/yyyy) \_\_\_\_\_

E-mail \_\_\_\_\_ Phone \_\_\_\_\_

**Purpose:** Form 241.3 provides the Office of Scientific and Technical Information (OSTI) information required to appropriately identify, process, and/or announce and disseminate the results of work funded by the U.S. Department of Energy (DOE). For general information or assistance with this form, contact OSTI at (865) 241-6435, or at the following e-mail address: 241user@adonis.osti.gov.

**When to use:** Submit this form with each scientific and technical information (STI) Product. Electronic format is the preferred method for submitting the announcement record and STI Product. When submitting electronically, use the electronic version of the form (<http://www.osti.gov/mlink>; discuss with your DOE Contracting Officer). When submitting in paper, input should be typed or printed, not handwritten.

**Describing the data fields:** Descriptions of the various DOE F 241.3 data fields, STI Products, format, etc., can be found in ATTACHMENT 3 and other sections of the DOE Guide 241.1-1, Guide to the Management of Scientific and Technical Information. Available online at <http://www.osti.gov/stip/>

**DOE Financial Assistance Recipients/Contractors** Recipients and Contractors should complete Parts I and II of the form and forward the form along with the STI product to the DOE Contracting Officer who will complete the rest of the form and submit the package to OSTI.

**NOTE:** Sensitive, proprietary, or other STI Products for which access is restricted by statute or regulation shall not be transmitted via open systems networks (e.g., the Internet) unless authorization and/or encryption has been coordinated with OSTI in advance. This form, unless it in itself is classified, can be transmitted via open systems networks (e.g., the Internet).

**RECORD STATUS** - This is a required field. The record status identifies the announcement record or the STI Product as new, or revised. If the record status is not provided, the record is considered "New".

**Part I: STI PRODUCT DESCRIPTION** (To be completed by Recipient/Contractor)

#### A. STI PRODUCT IDENTIFIERS.

1. **Report/Product Number(s).** This is a required field. The unique primary report or product number assigned to the STI product. If a report number is not provided, the word "NONE" should be entered.

Following are examples of report number formats for multiple volumes, parts, or revisions:

DOE/ID/13734-2

DOE/NE/01834—1-Pt.1

More than one report number may be provided. Multiple numbers are separated with a semicolon and a space. When more than one number is entered, the first number, considered the primary number, should identify the submitting organization. All other numbers are considered secondary numbers.

2. **DOE Award/Contract Number(s).** This is a required field. Enter the DOE award/contract number under which the work was funded. Additional DOE award/contract numbers related to the product may be entered. Multiple numbers are separated with a semicolon and a space. When more than one number is entered, the first number is considered the primary number.

3. **Other Identifying Number(s).** An additional unique identifying number assigned to the STI product. (e.g., CRADA numbers, Non-DOE contract numbers). More than one other identifying number may be provided. Multiple numbers are separated with a semicolon and a space.

**B. RECIPIENT/CONTRACTOR** - This is a required field. Provide the name and location of the organization that performed the research or issued the STI product. More than one organization may be provided; separate multiples with a semicolon and a space.

Example: University of Tennessee, Knoxville, TN

**C. STI PRODUCT TITLE** - This is a required field. Provide the title exactly as given on the product itself, including part, volume, edition, and similar information.

**D. AUTHOR(s)** - This is a required field. Provide the name of the author (last name first) of the STI product. More than one author may be provided; separate multiple entries with a semicolon and a space. If an author does not exist, the word "None" should be entered.

Examples: Jones, T.M.; Markay, Arthur R. III  
Fields, J.M., ed.

**Author(s) E-mail Address(es).** Provide the e-mail address for each author. Multiples may be provided; they should be listed in the same order as the authors and should be separated by a semicolon and a space.

**E. STI PRODUCT ISSUE DATE/DATE OF PUBLICATION** - This is a required field. Provide the date when the information product was published or issued.

**F. STI PRODUCT TYPE** - This a required field. It should agree with the reporting requirement identified in the reporting requirements checklist; federal assistance reporting checklist; or in the statement of work if the product is a required deliverable that warrants accountability.

1. **Technical Report** Identify the type of technical report provided.

2. **Conference Paper.** Provide all available conference information. An agenda alone is not sufficient for announcement.

3. **Software Manual.** The Software Manual that accompanies the STI or copyrighted software. To obtain the required form (DOE F 241.4) and instructions for submitting the software (including copyrighted software), contact the Energy Science and Technology Software Center (ESTSC) at (865) 576-2606.

4. **Journal Article.** Provide all available Journal Article information.

**G. STI PRODUCT REPORTING PERIOD.** Specify the beginning and ending dates of the period covered by the STI product.

**H. SPONSORING DOE PROGRAM OFFICE** - Enter the name or acronym of the DOE Program Office (e.g. Office of Science or SC) providing the funding for the work described in the STI product. For projects funded by more than one Program Office, indicate all sources of the DOE funding in descending order of dollar amount of funding appropriated. Separate multiple program offices with a semicolon and a space. If no sponsoring DOE Program Office is provided, "DOE" will be the sponsor.

**I. SUBJECT CATEGORIES** - Select one or more categories from the list provided. List the primary one first. A list of subject categories is available at (<http://www.osti.gov/mlink>).

**Keywords.** Provide terms which describe the content of the publication. More than one term may be entered; separate multiple terms with a semicolon and a space.

**J. DESCRIPTION/ABSTRACT** - Provide a clear, concise, and publicly releasable English language summary of the information content of the STI product. The abstract length should be no more than 5,000 characters. If you are utilizing paper media, you may provide via attachment.

**K. INTELLECTUAL PROPERTY/DISTRIBUTION LIMITATIONS** - This is a required field. Recommendations to restrict access to STI products must have a legal basis or be accompanied by written programmatic guidance. For questions concerning current laws and guidance, refer to Part II or ATTACHMENT 7 of the DOE Guide 241.1-1, Guide to the Management of Scientific and Technical Information, or contact your DOE Contracting Officer.

1. **Unlimited Announcement.** The unrestricted, unlimited distribution of the product (will be made publicly available).

2. **U.S. Dissemination Only.** STI products suitable for this designation are those which otherwise are not protectable under FOIA, but for which unrestricted dissemination could be harmful to U.S. national security or nonproliferation. A list of sensitive subjects is available from the Nuclear Transfer and Supplier Policy Division (NN-43).

3. **Copyrighted Material.** A copyright restriction on part or all of the contents of the STI product may affect the reproduction and distribution of the product by OSTI. Any restriction must be specified.

4. **Patentable Material.** Provide all applicable patent information.

5. **Limited Rights Data.** Formerly referred to as proprietary information. Only information developed at private expense outside of this award/contract may receive the limited rights protection.

6-8. No special instructions.

#### 9. Export Control

a. **Classification List and Export Control Classification Number (ECCN)** This number indicates the reason for any controls required. The Export Control Classification Number (ECCN) combined with the sensitive country list available from NN-43 determine whether an Export Control License is required.

10. **Classified/Controlled Information.** Classified STI products will be announced by OSTI in accordance with DOE/OSTI-3679- Rev.75.

#### 11. Other Special Access.

a. **Official Use Only.** STI Products suitable for this designation have not been given a security classification pursuant to the criteria of a statute or Executive Order; however, it may be withheld from public disclosure under the criteria of FOIA.

b. **Program-Directed Special Handling.** Provide a reference to specific guidance or attach a copy of the specific guidance.

c. **Other exceptional information, that restricts announcement of this STI Product.** (specify). Indicate the type of access limitation. Provide a reference to specific guidance or attach a copy of the specific guidance.

L. **RECIPIENT/CONTRACTOR POINT OF CONTACT.** Provide the organization or individual(s) name with corresponding contact information who will be included in the published citation as the point of contact and will respond to external questions about the content of the STI product.

### Part II. STI PRODUCT MEDIA/FORMAT AND LOCATION/TRANSMISSION (To be completed by recipient/contractor)

#### A. MEDIA/FORMAT INFORMATION

1. **Medium.** This is a required field. Select one of the medium options provided. Note: When announcement record only is submitted, select "No full-text".

2. **Size of STI Product.** Provide the total number of pages or other designation which gives an indication of the size of the information product (e.g., 200 pages; 20 images; 3500 kilobytes; 3-3 1/2 inch diskettes).

3. **File Format.** This is a required field if the STI product is electronic full-text. Select one of the options provided.

4. **If Computer Medium or Audiovisual Material** (do not include software packages)

a. Indicate the quantity and type of medium, e.g., 2 videocassettes, 1 magnetic tape.

b. Indicate the machine with which the medium is compatible, i.e., with which it can be used (e.g., VHS; IBM PC-compatible, hard disk, 8 Megs.)

c. Enter 'Y' if the product has sound.

d. Enter 'Y' if the product is in color.

e. Enter "Y" if the product has tables/graphics.

f. Enter any other information which would be helpful to the user of the STI product (e.g., programming language, file format, etc.)

#### B. LOCATION/TRANSMISSION INFORMATION

1. **Product available at site:** This is a required field if electronic full-text STI product retained at site. Provide a complete unique URL (Uniform Resource Locator) address sufficient to access a complete copy of the specific STI product.

2. **Product being transmitted to OSTI :** This is a required field if electronic full-text STI product is being transmitted to OSTI. Indicate the method of transmission.

3. **Information Product File name:** This is a required field if an electronic copy of the STI product is being transmitted to OSTI electronically via an open systems network or other computer-generated medium. Provide the name of the file that contains the STI product itself.

### Part III: STI PRODUCT REVIEW/RELEASE INFORMATION (To be completed by DOE)

#### A. STI PRODUCT REPORTING REQUIREMENT REVIEW

1. This is a required field if all other required STI products have been received for this award by OSTI and this STI product is the final deliverable required according to the technical information reporting requirement.

2. Indicated if the STI product is not suitable for dissemination beyond DOE based on report type or content; however, it is being submitted because it fulfills a technical information reporting requirement.

B. **RELEASING OFFICIAL** - This is a required field. Provide the name and additional information of the site's individual(s) responsible for the appropriate review and release of the STI product. Do not forward this form or the STI product until after it has been reviewed and released for announcement.

#### OMB BURDEN DISCLOSURE STATEMENT

Public reporting burden for this collection of information is estimated to average 10 minutes per response, including the time for reviewing instructions, searching existing data sources, gathering and maintaining the data needed, and completing and reviewing the collection of information. Send comments regarding this burden estimate or any other aspect of this collection of information, including suggestions for reducing this burden, to the Office of Information, Records and Resource Management, SO-31, FORS, Paperwork Reduction Project (1910-1400), U.S. Department of Energy, Washington, DC 20874-1290; or to the Office of Management and Budget (OMB).