



# How to Prepare Technical Publications for the Engineer Research and Development Center

Policies, Standards, and Practices

William J. Wolfe December 2018







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# How to Prepare Technical Publications for the Engineer Research and Development Center

Policies, Standards, and Practices

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#### Final Report

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# **Abstract**

U.S. Army Engineer Research and Development Center (ERDC) researchers are required to document and publish the results of U.S. Department of Defense (DoD) funded research and development projects, both for purposes of public accountability and technology transfer. The ERDC publication series provides one avenue for researchers to create professional quality publications that meet the demands of sponsoring organizations and regulatory requirements. This updated author's guide, which supersedes ERDC/ITL SR-04-1, guides principal investigators or lead writers through all phases of document preparation.

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ERDC/ITL SR-18-4 iii

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# **Preface**

This work was conducted for Information Science and Knowledge Management Branch, Information Technology Laboratory, U.S. Army Engineer Research and Development Center. The technical monitor was Ms. Molly McManus, CEERD-ISK.

The work was performed by the Information Science and Knowledge Management Branch (CEERD-ISKM), Software Engineering and Informatics Division (CEERD-IS), Information Technology Laboratory (ERDC-ITL). At the time of publication, Ms. Molly McManus was Chief, CEERD-ISK; Mr. Ken Pathak was Chief, CEERD-IS; and Dr. Cary D. Butler, CEERD-IZT was the Technical Director for Software Engineering and Informatics. The Deputy Director of ERDC-ITL was Ms. Patti Duett and the Director was Dr. David A. Horner.

Credit is owed to Ms. Denise Kitchens for her patience and guidance in coordinating this project through many iterations of composition and review. Special thanks is owed to the CEERD-ISK team members who generously provided valuable insight and critical input into the technical content of this guide: Ms. Holly Kuzmitski, Ms. Kathleen Miles, Ms. Emily Moynihan, Mr. Bill Mullen, Mr. Stan Nelson, Ms. Jean Noellsch, Ms. Vicki Reinhart, Ms. Karen Taylor, Mr. Tony Tullos, and Ms. Emily Wegrzyn.

COL Ivan P. Beckman was Commander of ERDC, and Dr. David W. Pittman was the Director.

## 1 Introduction

### 1.1 Background

The U.S. Department of Defense (DoD) requires U.S. Army Engineer Research and Development Center (ERDC) researchers to document and publish the results of DoD-funded research and development projects, both for purposes of public accountability and technology transfer (Army Regulation (AR) 70-31). Appendix A further details this requirement. The ERDC publication series provide one avenue for researchers to create professional quality publications of technical investigations that provide a formal record of data collected, results obtained, and analyses performed; and that meet the demands of sponsoring organizations and regulatory requirements. ERDC assigns responsibility for editing, publishing, distributing and archiving ERDC-produced technical publications to the Information Science and Knowledge Management (ISKM) branch, which is made up of editing and library staff.

ERDC/ITL Special Report SR-01-4, *Guide for Preparing Technical Information Reports of the Engineer Research and Development Center*, was first published in July 2004 and then revised in January 2006, as a guide to familiarize researchers with the range of ERDC publications products available to them and to help them access and use ERDC's in-house editorial services. This report, which supersedes SR-04-1, provides an updated author's guide to principal investigators (PIs) or lead writers assigned to prepare draft reports and to work with technical editors.

# 1.2 Objective

The objective of this work is to produce a document that will guide lead authors of ERDC technical publications through the seven phases of document preparation:

- 1. Planning
- 2. Composition
- 3. Editing
- 4. Technical review and sponsor acceptance
- 5. Management approval to publish
- 6. Final preparation and quality review
- 7. Dissemination.

## 1.3 Approach

This report guides authors of ERDC technical publications through document preparation by

- defining and describing the current ERDC document series (chapter 2)
- explaining the content requirements of ERDC publications (chapter 3)
- outlining the specific steps of the technical publishing process (chapter 4)
- providing useful advice on how to meet exceptional report requirements (chapter 5).

## 1.4 Scope

ERDC researchers are the primary audience for this guide. The information included here may also be of interest to ERDC technical management personnel involved in the publishing process. The guide also serves as a primary reference on policies, standards, and practices for ERDC technical editors.

Although this report specifically addresses six ERDC document series, the policies, standards, and practices described here apply generally to all ERDC technical publishing, which is broadly defined as the approved and formal placement of an ERDC-produced technical document before its intended audience.

# **2 Document Series**

The six numbered ERDC document series are

- 1. Technical Report (TR)
- 2. Special Report (SR)
- 3. Technical Note (TN)
- 4. Contract Report (CR)
- 5. Miscellaneous Paper (MP)
- 6. Letter Report (LR).

The TR, which is the Army's principal technical publication series for documenting the final results of scientific and engineering research studies, is sometimes seen as ERDC's flagship publication. However, ERDC also produces five other important document series that convey technical information other than final results. The following sections define the six official ERDC document series.

### 2.1 Technical Report (TR)

ERDC researchers are required to document DoD-sponsored research and to ensure that the documentation be sent to the Defense Technical Information Center (DTIC) (DoDI 3200.12). A completed TR and the supporting publication process fill those requirements. In fact, the TR is the only ERDC publication that can serve as the sole documentation of a DoD-sponsored Research, Development, Test, and Evaluation (RDTE) project (see AR 70-31, para. 6.a).

While a TR is used to document the final results of a project, it is also appropriate to publish a TR to record the results of significant technical milestones during a multiyear project. Chapter 3 includes ERDC-specific TR content requirements and editorial standards.

### 2.2 Special Report (SR)

SRs document technical projects that arise from ERDC's mission, but that do not meet the criteria for a TR. Common SR topics include

- proceedings of conferences hosted or co-hosted by ERDC that are not directly DoD funded
- instructions on using ERDC-developed computer or engineering applications
- results of an advisory study for a technology proponent or reimbursable customer that captures ERDC technical expertise that may be of interest to a wider audience
- a literature review or annotated bibliography that supports ERDC research or that satisfies a sponsor's request
- technology policy white paper sponsored by an Army technology proponent or requested by ERDC management
- technology transfer information that is too long or complex to fall within the guidelines of the TN series (see section 2.3).

Although SRs content requirement differ from those for TRs, SRs are prepared and edited using the same standards and formats that apply to TRs.

# 2.3 Technical Note (TN)

A TN is a short technology transfer publication (i.e., typically no more than 10–12 pages per ERDC CR 25-30-1) that researchers use to

- offer prospective technology users a plain language synopsis of research results or technology applications that have already been fully documented in an ERDC TR,
- document supplementary or spinoff RDTE project results of interest to peers and users, or
- present general instructions on how to apply or procure ERDC technology products.

Note that a TN is a formal, numbered, ERDC technical document that must include all required ERDC design elements (Corps of Engineers' registered trademark image, distribution statement, ISKM-assigned report number and date). The TN series is not an appropriate vehicle for such nontechnical subject matter as program work plans, annual reports, marketing outreach, etc.

### 2.4 Contract Report (CR)

CRs document work that was done for ERDC under contract and that lists only non-ERDC personnel as authors. A project manager may wish to publish a contractor's deliverable report as a CR for two reasons:

- to rapidly disseminate partial research results that may independently be of immediate use to technical proponents or peers and/or
- to publish a significant contractor study as TR without labor-intensive reprocessing by authors or technical editors.

Publication of a research deliverable as a CR is an option if the content meets the objectives of the contract's Scope of Work and if the document is prepared to a high level of consistency and professionalism. The researcher responsible for accepting the contractor deliverable functions as the technical monitor on behalf of ERDC. Section 5.1 discusses an abbreviated workflow for publishing these documents to the ERDC collection.

### 2.5 Miscellaneous Paper (MP)

An MP is a republication, under ERDC covers, of work, done by ERDC authors, that has been published or presented outside of an official federal government publishing program. This series is available to researchers as an option to make their work more broadly available. Common examples of material suitable for the MP series include journal articles (including refereed journal articles), articles published in nontechnical journals (e.g., industry publications), conference presentations, book chapters, TRs prepared by ERDC researchers for other agencies, and an ERDC employee's thesis or dissertation completed as a product of DoD-funded academic work. Section 5.2 discusses procedural details for publishing an MP.

# 2.6 Letter Report (LR)

The LR is official correspondence that summarizes a small ERDC technical or advisory study or a small, focused part of a larger study. An LR is not a publication for public dissemination, but rather a letter from the researcher to the project sponsor. The LR allows the performing laboratory to formally number and archive the results of narrowly focused work so that it is retrievable through the ERDC Library for historical or reference purposes. The LR also may be prepared in conjunction with a larger project to communicate interim or partial results (when the final results will

later be published as a TR). Because it is a form of correspondence, an LR is not sent to DTIC (DoDM 3200.14, para. 4.e, Table 2).

The LR is prepared as a memorandum according to the requirements of AR 25-50, *Preparing and Managing Correspondence* (2013). An LR may include one or more technical attachments. There is no standard required formatting for LR attachments, but they must be technically coherent and professional in appearance. No attachment should contain visual design or corporate branding marks that imply the document is a formal ERDC publication. Section 5.3 discusses editorial processing requirements for LRs.

# **3 Report Content**

# 3.1 Report organization

A TR has three main parts: *front matter*, *main text*, and *back matter*. Table 3-1 lists these main parts and the elements they contain, in the required report organization. The remainder of this chapter describes these elements in the order they appear.

Table 3-1. TR content outline.

natter	cover itle page	Displays ERDC identity marks and essential metadata such as title, report number, authors, publication date (month and year), and distribution statement.  Includes essential metadata and adds information about author affiliation, the funding program, and		
matter				
		the project.		
``ا <b>ب</b> ا`	bstract	Not to exceed 200 words, as required by DTIC.		
l lo Ir	ndexes	Table of Contents, and lists of figures and tables.		
<u> </u>	Preface	Acknowledgment of DoD funding, sponsoring program and organization, ERDC management, and other contributors.		
(E	Executive) Summary	Optional front matter, titled according to sponsor's conventions.		
Main text	ntroduction	Provides background information and summarizes the problem statement (in the required Background section), (research) Objective(s) section (required), Approach section (required), Scope (of the research) section (optional), and Notes on Methodology section (optional).		
<b>2</b>	Report body	Procedures, results, and discussion.		
F	inal chapter	Conclusions, recommendations, and/or summary.		
R	References	Full documentation of all cited material; may be divided into cited and uncited works.		
atter	ppendices	Supplementary material that supports, illustrates, or clarifies procedures, results, or discussion.		
- te	ist(s) of mathematical or echnical symbols, acronyms ind/or abbreviations	Supplementary information included as a courtesy to the target audience. Note that a list of acronyms and abbreviations is included if the report contains five or more acronyms/abbreviations.*		
R	Report Documentation Page	Standard Form (SF) 298 populated with all required metadata.		
*Derived from ANSI/NISO Z39.18-2005 (ANSI/NISO 2010)				

#### 3.2 Front matter

#### 3.2.1 Cover

#### 3.2.1.1 Key elements

ERDC maintains a standard cover design and color scheme that displays ERDC's corporate identity to the project sponsor, research proponent, peer organizations, and the public. The report cover displays key metadata such as the ISKM-issued report number and date, which indicate that the document is an official ERDC research publication. The cover also includes the program, title, subtitle, authors, performing organization, and distribution statement, and may display an optional (but recommended) representative graphic element.

#### 3.2.1.2 Report number

When a new ERDC report is complete (reviewed and edited) and approved for publication, the ISKM staff assigns the report number, which reflects four pieces of metadata:

- 1. The **laboratory** proponent, which is determined by the ERDC affiliation(s) of the authors listed on the report cover. If the cover lists ERDC author(s) from one laboratory, then that laboratory is the proponent. If the cover lists authors from two or more ERDC laboratories, then "ERDC" is the proponent. If the report cover lists no ERDC authors, then the laboratory issuing the report is the proponent, and the report receives a CR series number, as described in section 2.4.
- 2. The publication **series**, which is determined by its content (see chapter 2).
- 3. The **calendar year** in which the report was approved for publication.
- 4. A **sequential number** indicating the order that the number was assigned, relative to other reports of the same series.

Figure 3-1 shows the possible elements that may combine into an ERDC report number.

. Gara a m. contamination of miles to be a contamination					
1	2		3		4
Laboratory	Series		CY*		Sequence
ERDC ERDC/CERL ERDC/CHL ERDC/CRREL ERDC/EL ERDC/GRL ERDC/GSL ERDC/ITL	TR SR TN CR MP LR	-	18	-	N
*Calendar Year (CY)					

Figure 3-1. Construction of ERDC report number.

For example, the ERDC Coastal and Hydraulics Laboratory's (CHL's) first TR approved for publication in 2018 had three authors (one non-ERDC author and two ERDC-CHL authors). Figure 3-2 shows how the ISKM staff assigned this report's number.

Resulting Series CY Laboratory Sequence Report Number **ERDC ERDC/CERL ERDC/CHL** SR ERDC/CRREL TN ERDC/CHL TR-18-1 18 ERDC/EL CR ERDC/GRL MP **ERDC/GSL** LR ERDC/ITL

Figure 3-2. Assignment of an ERDC report number.

#### 3.2.1.3 Authors

The American National Standards Institute (ANSI/NISO 2010) defines scientific and technical report authorship as

a person or persons responsible for originating the scientific or technical information or the text of the report and who can effectively defend the content of the report to a peer group. The primary author/creator is always identified first.

Simply put, the authors listed on the cover of any ERDC report are those individuals who wrote and/or contributed to the technical content of the report. The authors on the cover are ordered by their relative contribution to the report, with the greatest contributor listed first.

The PI is responsible for crediting coauthors and acknowledging others who contributed significantly to the work. Valuable project support provided by nonauthors should be acknowledged in the Preface (see section 3.2.6, p. 12). A PI with questions about whether a contributor should be

listed as a coauthor should discuss the matter with their project manager and supervising branch chief.

#### 3.2.1.4 Cover photograph

A photograph or illustration may be displayed on the cover but is not required. A cover image must be well focused and cropped, and provided in sufficiently high resolution (200 pixels per inch [ppi]) to avoid a pixelated or blurry appearance. Avoid images of highly technical data plots or images that require a caption to be understood by a nonspecialist. The meaning of well-selected cover picture should be clear by its proximity to the report title without any textual explanation. Appendix B (p 41) shows a sample cover.

#### 3.2.1.5 Distribution statement

All DoD technical publications must include a distribution statement, which denotes "the extent to which they are available for secondary distribution, release, and dissemination without additional approvals or authorizations" (DoDI 5230.24, sec 1.a). ERDC reports display the distribution statement on the cover, the title page, and in Block 12 of the Standard Form (SF) 298 (on the final page of the report). The six distribution statements are

- 1. *Distribution A*. Approved for public release; distribution unlimited.
- 2. *Distribution B*. Distribution authorized to U.S. Government agencies (reason)(date of determination). Other request for this document shall be referred to (controlling DoD office).
- 3. *Distribution C*. Distribution authorized to U.S. Government agencies and their contractors. (reason) (date of determination). Other request for this document shall be referred to (controlling DoD office).
- 4. *Distribution D*. Distribution authorized to Department of Defense and U.S. DoD contractors only (reason) (date of determination). Other request for this document shall be referred to (controlling DoD office).
- 5. *Distribution E*. Distribution authorized to DoD Components only (reason) (date of determination). Other request for this document shall be referred to (controlling DoD office).
- Distribution F. Further dissemination only as directed by (controlling office) (date of determination) or higher DoD authority.\*

<sup>\*</sup> Distribution Statement F may only be applied under rare and exceptional circumstances; it is not to be used on scientific and technical documents (DODI 5230.24, 2f and 2f(1)).

Most published ERDC reports are marked with Distribution A for public distribution to promote the widest possible dissemination. The five limited-distribution statements can be applied only in accordance with DoDI 5230.24, Encl. 4, Table 5 (see Appendix C, p. 49). The project sponsor or designated controlling office is responsible for specifying or approving the distribution statement for every technical publication, but the technical editor may offer recommendations to help support compliance with DoDI 5230.24.

### 3.2.2 For Official Use Only (FOUO) marking

Sometimes, the content of unclassified documents is exempted from the Freedom of Information Act (FOIA). A TR that included trade secrets or information would be one example. Current ERDC policy specifies that an ERDC report containing such information must bear a "For Official Use Only (FOUO)" stamping on every page. Appendix C (section C.2, p. 51) specifies this marking.

#### 3.2.3 Title page

The title page includes all mandatory information from the cover, as well as author affiliation and project sponsorship information and funding information. Because research projects are often executed by multiple labs or with external partners, the ERDC title page is designed to display multiple organization affiliations. Appendix B (p 41) provides an example title page.

#### 3.2.4 Abstract, disclaimer, and report-destruction notice

The abstract and the disclaimer appear on the reverse side of the title page, and the abstract is duplicated in Block 14 of the Report Documentation Page (SF 298), fully described in section 3.4.5. The abstract summarizes the research problem, project objective, and outcome of the investigation. DTIC limits the length of the abstract to no more than 200 words.

The disclaimer and report-destruction notice are displayed in a box at the bottom of the abstract page. See an example on page ii of this report. Both of these metadata items are required by AR 70-31.

#### 3.2.5 Contents lists

The table of contents, list of figures, and list of tables help the reader navigate the document. When MS Word template heading and caption styles are properly applied, these lists can be electronically generated.

#### 3.2.6 Preface

#### 3.2.6.1 Structure and content

The Preface usually contains three paragraphs:

- 1. Paragraph 1, which
  - a. names the project sponsor
  - b. cites funding documentation (see section 3.2.6.2, p. 12)
  - c. identifies the technical monitor or reviewer, by name and office.
- 2. Paragraph 2, which
  - a. identifies the laboratory organizational and supervisory chain (branch, division, and laboratory associated with the report)
  - b. identifies the project PI or project manager (if *not* listed as an author on the report cover)
  - c. acknowledges significant contributors who are not credited as coauthors on the front cover of the report (see section 3.1, p. 7)
  - d. identifies laboratory senior leadership at the time of publication.
- 3. Paragraph 3, which lists ERDC senior leadership at the time of publication.

Appendix B (p 43) includes a representative example of Preface language.

#### 3.2.6.2 Funding documentation

A project's funding information, which is listed in Paragraph 1 of the report Preface, is also summarized in blocks 5a through 5f of the SF 298. Common funding types include

- Project number, which is the basic unit of research and engineering study (SF 298, block 5d).
- Congressional appropriations through research programs (SF 298 blocks 5c and 5d).
- Contract number, which is needed for CRs executed under program funding (SF 298, block 5a).
- Individual customer-reimbursable funding (SF 298, block 5e), which may include the following funding types:
  - Military Interdepartmental Purchase Request (MIPR) number, including the type of funds the MIPR was drawn from, e.g., Operations and Maintenance, Army (OMA)
  - Funding Authorization Document (FAD)
  - Other types of customer orders.

#### 3.2.7 Summary (optional)

Longer reports that would benefit from a more detailed synopsis in the front matter than the 200-word abstract can accommodate may include a Summary section within the front matter. The summary should include the research problem, objective, and results. It may discuss important details of the methodology, interpretation of the findings, and recommendations for technology transition or implementation. A Summary section should generally be no more than 5%–10% of the length of the report body, and is usually not necessary in a report shorter than 50 pages.

Note that while Summary is the preferred title for this section, Technical Summary or Executive Summary are acceptable alternatives. If the report contains a Summary in the front matter, then the final chapter of the main body should not also be titled Summary (see section 3.3.3.2, p 15).

#### 3.3 Main text

#### 3.3.1 Introduction

The Introduction is the first numbered chapter of the main text. It is subdivided into the sections described below.

#### 3.3.1.1 Background

Some research programs may specify that this section be labeled Problem Statement. In either case, the Background section

- 1. Provides background information.
- 2. Defines the problem that the research proposes to address.
- 3. States how the problem is relevant to the Army. If the study is performed for an external (non-Army) sponsor, briefly state why an ERDC laboratory is doing the work (e.g., ERDC provides a specialized research capability or facility not available elsewhere in the government or private sector).
- 4. Explains how the project will solve or mitigate the problem.

The background section should cite any previous ERDC studies that led to or that are related to the report project. It also may present contextual information, such as regulatory or legal compliance issues related to the Army problem but incidental to the technical objective of the study.

#### 3.3.1.2 Objective(s)

The Objective(s) section briefly states what the research is intended to accomplish. For some projects, the objective may be structured as a sequential list of tasks or milestones.

#### 3.3.1.3 Approach

The Approach section presents a short outline of the research methodology with enough technical information to support the credibility of the experimental design, including any central assumptions. In some cases, the Approach will consist of a list of steps taken to achieve the research objectives.

#### 3.3.1.4 Scope (optional)

A Scope section may be included to provide context that is not obvious or expressly stated in the previous sections. For example, it may explain constraints that affected project execution, caveats about the methods, or limitations on applicability of the results.

### 3.3.2 Report body (project documentation)

The report body begins with chapter 2 and usually consists of multiple chapters. The main text generally

- describes research procedures
- presents salient data, extended with appendices as necessary
- explains how the data were verified, managed, and analyzed
- reports the results
- discusses the applicability of results and impact of any problems encountered.

The body includes figures (e.g., photographs, drawings, plots, and maps), tables, and equations that promote a clear and direct explanation of the study.

#### 3.3.3 Final chapter

The final chapter commonly includes conclusions, recommendations, and/or a summary. These sections are usually presented together, i.e., Conclusions and Recommendations, Summary and Recommendations. If a report has no recommendations, a final Conclusions or Summary will suffice.

#### 3.3.3.1 Conclusions

This section explains how the research objective was met and how the results may benefit the Army. If the study had multiple sub-objectives, then the author must address each of them. All conclusions must be supported by information provided in the main text.

#### 3.3.3.2 Summary (alternative final chapter)

A small research project performed using widely understood and accepted methods, in which the validity of the results is self-evident to the target audience, may have no need for interpretive conclusions or formal recommendations. A Summary section may be sufficient to conclude the report. In such cases, the content of the summary would be similar to the optional front matter summary described in section 3.2.7 (p 13).

#### 3.3.3.3 Recommendations (optional)

In this section, the author suggests how the research product or results could be transitioned to an advanced phase of research, applied on installations, demonstrated in the field, or implemented more broadly in Army or DoD activities.

#### 3.4 Back matter

#### 3.4.1 References and/or bibliography

The (unnumbered) References section must list all sources cited in a report, sorted alphabetically by first author. The list may be subcategorized by content area, or any other divisions that that may help the reader. The subcategorization of the Bibliography section of this report (p 33) gives a good example.

Within the text of the report, the parenthetical author-date system of intext citation is preferred. Chapter 15 of *The Chicago Manual of Style* outlines the author-date citation system (University of Chicago Press 2017, referred to hereafter as the *Chicago Manual*). In some discipline-specific cases, the note-number style of documentation (*Chicago Manual*, chapter 14) is also acceptable although it is more labor-intensive to prepare and edit, and can add costs to the editorial review. The author may include a separate list of uncited literature in a Bibliography section, which is formatted and organized identically to the References section.

Appendix B, section B.4 (p 44) provides examples of how to cite certain typical document categories used widely by ERDC researchers, as well as some that not explicitly covered in the *Chicago Manual*.

#### 3.4.2 Appendices (optional)

Appendices are technical supplements that contain text, illustrations, or data necessary to fully document, support, or verify information given in the main text without interrupting the main narrative. Appendices are designated by letter instead of number (i.e., Appendix A, Appendix B, etc.). If a report includes only one appendix used, it is labeled simply "Appendix."

#### 3.4.3 Other optional back matter

Additional back matter sections may be included after the appendices if needed. Appendix B (46) addresses the visual design of these sections, which commonly include

- list of symbols, abbreviations, and acronyms
- glossary (terms unfamiliar to target audience)
- table of unit conversion factors
- distribution list.

Note that a *distribution list* is distinct from a *distribution statement* (see section 3.2.1.5, p. 10). A distribution list, which documents the addressees of the primary distribution, may be useful (but is not required) in limited-distribution reports to explicitly document the sponsor's authorized and intended primary recipients. More information about distribution lists is available in ANSI/NISO Z39.18-2005 (2010).

#### 3.4.4 Subject terms

ISKM staff provide every ERDC report with subject terms derived from the Library of Congress Subject Headings (LCSH) database. The use of LCSH keywords supports document indexing and discoverability through international databases. Authors may supply additional keywords for the SF 298.

#### 3.4.5 Report Documentation Page

The Report Documentation Page is an electronic version of SF 298, which is included on the last report page. Technical editors will help the author enter applicable DTIC-required metadata on the form to facilitate cataloging, archiving, and retrieval.

# 4 The Authoring/Publishing Process

This chapter outlines the steps involved in publishing an ERDC report. Although this chapter uses the TR as an example, the other publication series follow the same overall process. The editorial and review workflows described here reinforce correctness, ensure quality, and guarantee that official ERDC publications receive all required approvals. Appendix D focuses on the author's involvement in the publication process.

The tasks described in this section must be completed in a logical order—but not necessarily in a fixed sequence. For example, in some ERDC laboratories, technical review precedes editing; in others, the edited draft is sent for technical review. The technical editor will ensure that all editing, review, approval, file preparation, and dissemination tasks are completed or documented before an ERDC report is formally published.

## 4.1 Planning

The researcher should begin planning for publication as soon as the project is under way. The tasks done in the planning phase involve

- determining the document's purpose and appropriate document series,
- identifying mandatory reviewers (sponsor, peer, and/or end user),
- collecting project metadata (see section 3.2.6.2, p. 12),
- managing textual, graphical, and data resources for use and citation,
- creating a content outline, and
- identifying any special text formatting or layout needs.

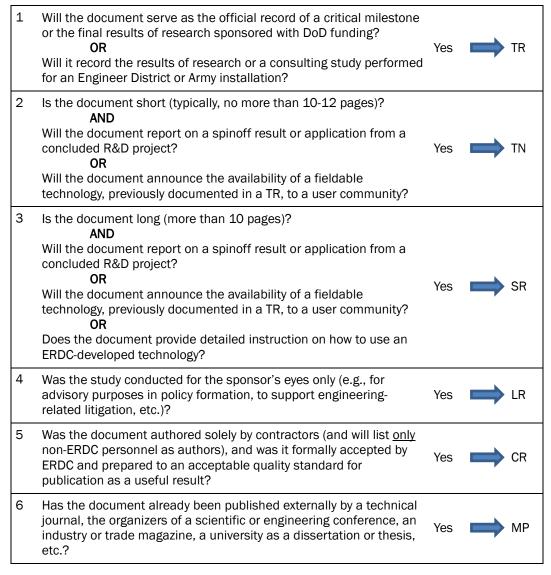
Sometimes, preparing two or more shorter documents for a single research project may provide the quickest path to publication. In appropriate cases, this approach can produce shorter, more-focused (more readable) documents that avoid difficult organization problems that can arise from preparing a single large report. Authors should discuss such options with an editor.

#### 4.1.1 Identify the document series

PIs can always ask a technical editor for help in identifying the best series for atypical projects that may not meet the criteria outlined in Figure 4-1. (Also, see chapter 5 for specialized workflows.) The document's purpose

defines its publication series (defined in chapter 2). A PI can quickly identify a document's likely publication series by answering the questions posed in Figure 4-1.

Figure 4-1. How to determine a document's series.



#### 4.1.2 Identify and list project metadata

ERDC Form 7 (see Appendix D, p. 56), the report Preface, and the Report Documentation Page require specific metadata. The PI can save time by including the following information (where applicable) with the draft report:

- program element number and title (retrievable from the Corps of Engineers Financial Management System [CEFMS])
- project number and title (retrievable from CEFMS)

- congressional appropriations through research programs
- contract number
- reimbursable funding name and title (e.g., MIPR, OMA, FAD).

#### 4.1.3 List referenced sources

The References section lists full bibliographic information for every cited reference, including government regulations, criteria documents, laws, industry standards, journals, and texts. ISKM staff can help authors to access much online bibliographic information that is preformatted in the style required for ERDC publications.

#### 4.1.4 Obtain copyright permissions

It is important to clearly mark all information and graphics that may be protected by copyright. ISKM staff may be able to help the author locate sources of public domain or Creative Commons licensed material (Creative Commons 2017) that can replace similar information that is currently under copyright protection. *Authors are responsible for securing permissions for any copyrighted information they reproduce in a report*. Appendix D contains a sample copyright permissions request letter. Authors are encouraged to consult with the editor if they need help composing these requests.

Note that government publications are not copyrighted so authors do not need to request permission to use material borrowed from them (although the source should be cited). Also, a short quote from a copyrighted source is considered *fair use* that requires no copyright permission. Section 107 of the Copyright Act of 1976 provides the statutory framework for determining whether a borrowing may be considered *fair use*, which is generally determined by

- the purpose and character of the use,
- the nature of the copyrighted work,
- the amount and substantiality of the portion taken, and
- the effect of the use upon the potential market.

Not that *fair use* does not apply to images. If a source is copyrighted, it would not be considered *fair use* to borrow an image from that source since the image is not considered a quote.

#### 4.1.5 Outline the draft document

The author can use the TR content outline listed in Table 3-1 to create a working outline for a TR or SR during the planning phase. A sound outline developed with a word-processing template can ease reorganization, composition, and revision. The official ERDC TR templates (available from any of the ERDC editors) provide this feature.

#### 4.1.6 Special needs

Occasionally, some publications include content that creates unusual editorial effort. Examples may include extensive data sets, multiple types of distinctive graphics (e.g., photographs and maps) that require different numbering systems, or items created by technical software that are not compatible with ERDC's standard publishing software. The planning phase is the best time to develop strategies and methods for handling any unusual production issues. The technical editor can help develop the best method to both meet the author's needs and conform to ERDC editorial standards.

### 4.2 Composition

Composition is the most time-consuming phase of research documentation. It involves writing the rough draft, improving textual coherence, and incorporating visual information (figures and tables). Composition begins with understanding the needs of the target audience.

#### 4.2.1 Identify the audience

Each document series may be associated with different target audiences. The TR has a potentially diverse audience of both civilian and military personnel who represent the sponsor, prospective ERDC customers, higher headquarters, and federal government agencies or departments. As the official final record of DoD-sponsored research and engineering, the TR must be written in formal language that meets the information needs of an expert in the report's technical domain. However, the text must also be understandable by an informed member of the public.

The writer's grammatical *point of view* is important in setting the document's tone. For government technical publications, the third-person point of view (he, she, it, they) is commonly recommended because it conveys a formal, objective tone, and because the publications speak for the government, not for the individual authors. For user-oriented publications

such as TNs or software user manuals, the second-person point of view (i.e., addressing the reader as "you") may set a more natural, conversational tone. Technical publications use the first-person point of view (I, we) less commonly.

#### 4.2.2 Develop a rough draft

The text of the rough draft may effectively be pasted into the outline as it is written. The outline helps to assemble a well-ordered draft using pieces of content created during different phases of the work. Required content that can be pasted in at the beginning of the process includes

- cover metadata (laboratory proponent, title, authors, series, distribution statement)
- funding metadata (see section 3.2.6.2, p. 12), taken from funding documentation in CEFMS, to be included in the Preface and title page
- the introductory chapter, taken from the proposal or project management plan (PMP).

Appendix material can often be assembled, formatted, and finalized before the body text is completed.

Authors are responsible for verifying that their reports' content is complete and coherent. When a report has multiple authors, the lead author is responsible for the document's overall organization. For example, documents with multiple authors commonly include redundant background material and descriptions of project objectives. The lead author should resolve such problems before sending the draft to editing.

#### 4.2.3 Send the draft manuscript to editing

The PI attaches a completed copy of ERDC Form 7 (see Appendix D, p. 56) to the draft manuscript. The draft document and Form 7 are sent to the lead author's branch chief for review and approval. The branch chief forwards the approved document and signed Form 7 to editing. The branch chief's approval confirms that the draft is complete and that lab management concurs with the specified distribution statement and source of editing funds.

ERDC Form 7 is available through the ERDC intranet at

The portable document format (PDF) version of this report also includes the form as an embedded object (see Appendix D, p. 56).

### 4.3 Editing

The technical editing process uses Microsoft Office (primarily Microsoft Word along with such compatible programs as Adobe Acrobat and Photoshop). The editor controls the official version of the document file during editing and is responsible for maintaining version control to ensure document fidelity throughout the process. The following sections describe the main tasks of the editing phase.

#### 4.3.1 Intake, assessment, and estimate

The editor first reviews the submitted package to ensure that document content is complete and that there is a financial account to support editorial services. If the submitted package is complete, the editor will then create an editorial estimate. The editor's estimate will cover standard project-specific work, including recordkeeping, formatting using the ERDC template, first read-through, digital markup and editing, author conferences, revisions, coordination and staffing, final preparation, quality review (QR), and project-closeout tasks. The estimate accounts for a level of editing, which is determined based on the target audience (profile, composition, and size) and condition of the submitted draft.

#### 4.3.2 Copy editing and rewriting

The main editorial task involves basic corrections of spelling, grammar, word usage, and syntax errors, and application of stylistic conventions related to capitalization, representation of numerals, etc. The editor will directly make simple improvements of phrasing and may suggest improvement of technical passages using either the word processor's *Track Changes* or *Comment* feature. The edit may also include substantive revisions or recommendations using methods corresponding with the editor's level of knowledge and rapport with the author. The editor also uses word-processing tools to apply typographic and visual formats, automatic numbering and indexes, vertical lists, etc. When the first round of editing is completed, a copy of the official draft is transmitted to the lead author to review edits and respond to queries.

#### 4.3.3 Author revisions and corrections

The author reviews the edited draft, replies to editorial queries, accepts or edits flagged revisions, and identifies errors that may have been introduced during copy editing. The author completes the review and then returns the file to the editor, who integrates the corrections and prepares the final draft for review and/or approval.

Note that, if the author wishes to make further substantial revisions at this point (e.g., adding large sections of new unedited content), the project may incur extra costs that were not anticipated in the editing estimate and the schedule may slip. Finally, the editor coordinates the technical or sponsor review of the document. The specific procedure may vary by laboratory and may depend on sponsor or program requirements.

#### 4.4 Technical review

Technical review is typically done by one or more of the following:

- personnel employed by the sponsoring organization or program office
- a research program manager
- a subject-matter expert with delegated review authority
- an ERDC technical director or other assigned expert in research executed under an Army RDTE program element or the ERDC Center-Directed Research Program (CDRP).

Whether the technical review occurs before or after the editing phase, the editor may be included in any substantive author correspondence with reviewers to help ensure that all technical comments have been addressed and that revisions are well integrated into the text in terms of organization, narrative sequence, syntax, etc. After the editor has received final acceptance of the draft's technical content, and in some cases validation by a peer reviewer, final ERDC management review and approval for publication may proceed.

# 4.5 Management approval to publish

The routing procedure and approving official (or chain) may differ for each laboratory. However, in all cases it is the editor who coordinates the final

management review. This specified workflow confirms to ERDC management that

- the document has received an editorial review that is appropriate for the document's purpose and target audience,
- editorial custody of the draft has been continuous to ensure that no file modifications have been made outside of the prescribed process,
- all author and sponsor revisions have been edited to meet ERDC standards, and
- the technical content is complete, final, and ready for approval to publish.

The approval draft need not be perfect in every cosmetic detail since the document is still subject to final management revisions. Any final changes requested by the approver will be communicated to both the editor and the author, who will collaborate to make sure those requests are addressed.

All final corrections will be made during the final preparation phase. If all editing and review procedures have been carefully followed and editorial custody has been maintained, the approval draft should not require substantive revision. Routine editorial corrections such as spelling or word-processing errors can be made without repeating the complete management review. However, if management requests a substantive technical revision, the complete management review sequence may need to be repeated.

## 4.6 Final preparation

#### 4.6.1 Assignment of number and date

ISKM will assign an official ERDC publication number and date only when

- the technical reviewer concurs with the report content, and
- management has formally approved publication.

ISKM will make no exception to this policy.

#### 4.6.2 Final corrections and author read-through

The technical editor integrates and coordinates all final corrections with the author as necessary. After the editor corrects the official digital file, the author may choose to read through the document one last time. *Note that* 

substantive changes made at this point may delay the process, add editorial costs, and require a second (redundant) ERDC management review.

#### 4.6.3 Quality review (QR)

Before publication, a third party in the editorial group provides a final QR using a standardized checklist designed to catch any editing, word-processing, or electronic rendering errors that may have escaped scrutiny. The technical editor addresses final issues noted by the QR reviewer and then prepares the final (Adobe®) PDF file for dissemination.

#### 4.7 Dissemination

ERDC's primary mode of distributing technical publications is electronic. Documents marked for public release (i.e., Distribution Statement A; see Appendix C, p. 49) are digitally published as PDF files to ERDC's web-based repository and transmitted to DTIC by ISKM staff. Authors are prohibited from directly transmitting ERDC technical publication to DTIC.

ISKM staff externally disseminate reports marked with limited-distribution statements B through F (see Appendix C, p. 49) to DTIC only. Three copies of each limited-distribution report (PDF files on CD) are provided to the ERDC Library (one for each site); ISKM staff catalogs and archives these reports securely offline. Secondary distribution of these reports is controlled only by the office specified in the distribution statement. Authors and ISKM staff are not authorized to distribute copies of limited-distribution reports without authorization by the controlling office.

ISKM staff send notification of new ERDC technical publications by email to one or multiple subscription-based publication subscription lists. Authors may indicate which list(s) should receive notification of publication on the ERDC Form 7 submitted with their report drafts. Appendix E contains a list of the publication subscription lists available and instructions on how to sign up to receive notifications.

# 4.8 Printing

The ERDC publication process does not require distribution of printed copies. However, ISKM staff can provide the author with a PDF record copy of any ERDC publication marked for public release, which authors may use to order commercially printed copies from the ACE-IT printing

point of contact. The print request begins by going to the ACE-IT Service Portfolio (ASP) Service Catalog website: <a href="https://itsm.usace.army.mil/ASP">https://itsm.usace.army.mil/ASP</a>.

### From that page

- 1. Press the button labeled *VI*, *Printing*, *Records Mgmt or Forms and Publications Request?* (at the bottom-center of the webpage).
- 2. On the next page, press the button labeled *Request Printing, Scanning, and DVD Duplication Services*.
- 3. From the resulting Printing Services page, select the Order Service link to invoke the Print Requisition Page.
- 4. Fill in the required information in the Print Requisition Page, attach the PDF report file, and submit the request.

The printing specialist will provide cost estimates (if requested), approximate turnaround times, and ensure that the best solution has been selected. The printing specialist can also review files, complete forms, and provide other assistance as needed to ensure that your printing requirements are met.

Printing is cost reimbursable and is initially paid through ACE-IT's facility account and in turn billed against the cross-charge Purchase Request & Commitment (PR&C) provided by each customer. (At ERDC, this is an inhouse PR&C.)

# 5 Special Workflows and Distribution

### **5.1** Workflow for Contract Reports

If a PI determines that a contractor-authored deliverable may be appropriate for stand-alone publication as a CR, only minor editorial processing is needed. (Section 2.4 provides more details.) The principal requirement is that ERDC has accepted the contractor's report as final and as completely fulfilling the contractor's Scope of Work. The preferred electronic file format is Microsoft Word (\*.docx). However, in limited circumstances and at the editor's discretion in consultation with the PI, a PDF copy may be sufficient. Although the contractor's report need not be prepared using ERDC visual styles, it may be edited and prepared using the ERDC template. In all cases, it must be prepared to professional standards of writing, editing, organization, and visual presentation.

To initiate the workflow to publish a CR, the author sends the digital file to editing through his or her branch chief with a signed ERDC Form 7 (see Appendix D, p. 56). The receiving editor evaluates the document for suitability to publish in its current state, then prepares a cost estimate to cover preparation of required ERDC metadata, front matter, and back matter. The estimate also covers editorial integration of the contractor's file with the ERDC-specific content. It also may include minor word-processing corrections, such as spelling errors, but not copy editing. Upon completion of the work and approval by the PI, the editor coordinates the publishing tasks described in sections 4.5, 4.6, and 4.7.

# **5.2** Workflow for Miscellaneous Papers

A technical document is appropriate for publication as an MP if the author's draft has previously been accepted and published by an external publisher (see section 2.5); these documents would include journal articles, monographs, theses, dissertations, and papers published in conference proceedings.

To submit a document for publication as an MP, the author provides a digital (preferred) or paper copy of the published paper to the technical editor through the supervising branch chief. The paper is attached to (1) a completed, signed copy of ERDC Form 7 (see Appendix D, p. 56); (2) a signed copy of the lab's original approval to publish in the external publication; and (3) a copy of the signed ERDC Security Office clearance form, if required by the lab.

The publishing procedures are generally the same as for a CR, and management approval is required. The editor's task is to integrate the manuscript with required ERDC-specific content, coordinate management approval to publish, and transmit to the ERDC and DTIC repositories. The technical editor will request a small amount of funding from the author to issue an MP number and to prepare a digital public record for the online repositories that will include an ERDC MP cover, title page, Preface, and SF 298. ISKM staff will catalog the document into the ERDC collection, and depending on its copyright status, will make it publicly available or with available with appropriate restricted access.

### **5.3** Workflow for Letter Reports

Section 2.6 (p 5) details the purpose of and requirements for this work product. Briefly, the LR is

- intended only for its authors and listed addressees
- prepared in Army correspondence format, in accordance with AR 25-50, with attachments as needed
- archived by ERDC Library; an LR is not deposited with DTIC or made publicly available in any other way.

To initiate processing of a letter report, the author should submit a completed ERDC Form 7 (see Appendix D, p. 56) with a copy of the final memorandum, all attachments, and documentation of any required internal approvals to release the material to the addressees. Also, a funding source must be provided to reimburse an editor for a review of the package. At minimum, before a number and date are assigned by ISKM, the submittal will be spot checked by an editor for conspicuous errors in spelling, grammar, and word processing. The editor also will review the package and remove unauthorized ERDC corporate identity marks or publication trade dress (see sections 2.6 [p 5] and 5.7 [p 31]). A full copy edit is not required, but the editor may recommend one based on results of the review, and on the resulting understanding of the document's purpose and audience.

After editorial processing and management approval, ISKM will issue a report number and date, and ISKM staff will archive the document.

# 5.4 Workflow for refereed journal articles

Authors who publish refereed journal articles should provide the ERDC Library with a PDF version of the reviewed, accepted version of the article (not the copyrighted final version). ISKM staff will archive the article (with the publisher's permission) and send the article to DTIC in accordance with the DoD Public Access Plan (DoD 2015). A self-archived article becomes part of the ERDC Library collection and, depending on its copyright status, may become available immediately, or may be made available without charge after a 12-month embargo period starting on the date of publication as permitted in the DoD Public Access Plan.

# 5.5 Reports on work for external sponsors

Government departments and agencies external to the Army (e.g., the Air Force or U.S. Environmental Protection Agency) may provide funding to perform research using ERDC capabilities, facilities, or expertise not available in their own organizations. The results of such studies may be published either through the sponsoring agency's own program or through the ERDC publishing program. In either case, the editing and publishing process follows the general outline described in this chapter. Certain tasks will be affected by each organization's publishing practices, review and approval requirements, etc.

In cases where there is an ongoing relationship between ERDC and the sponsoring agency, the PI and editor may follow any cooperatively established publishing processes that have been documented and are acceptable to ISKM. In projects of limited scope or duration, however, the research agreement may not address editing and publishing, so early coordination between author and editor is critical to organizing the workflow and keeping the project on schedule.

The PI should consider editorial processes and costs early in the project development, as part of project proposal. If the project will require ERDC editors to use unfamiliar visual and/or editorial standards, project publishing costs should include a contingency factor. The author is responsible for providing the sponsor's review, approval, and publishing requirements to the technical editor. The editor is responsible for ensuring that essential ERDC requirements are met and for helping to resolve any substantive conflicts between ERDC and sponsor procedures.

After the sponsor and ERDC approve publication, each organization will assign a number according to its own criteria and procedure (see chapter 2, section 3.2.1.2, p. 8). If the final report is prepared using the sponsor's formats and standards, the final workflow for the ERDC edition will resemble the processes given for the CR or MP previously in this chapter; no ERDC-specific reformatting will be necessary. A distribution statement is applied according to the sponsor's instructions, but the ERDC edition also must include a distribution statement that complies with DoDI 5230.24, Encl. 4, Table 5 (see Appendix C, p. 49). The DoD distribution statement is applied to the ERDC cover, title page, and SF 298.

# 5.6 Unusual formatting requests

Occasionally, an ERDC publication may include technical content that the PI believes to require a modification of ERDC visual presentation standards. Such requests may involve, for example, modifications of publication design elements or the use of nonstandard software not supported by ERDC technical editors. ISKM has established the following coordination requirements to ensure that available staff can work such requests into their schedule at a reasonable cost. To that end, it is recommended that the author discuss the project with a technical editor early in the process, to

- clarify all of the author's nonstandard requests
- specify the perceived need to use nonstandard software
- discuss any other condition that may affect the application of ERDC policies, procedures, or review/approval requirements.

The PI must make (and justify) the request for nonstandard formatting in writing in block 12, "Special Instructions," of ERDC Form 7 (see Appendix D, p. 56). The PI's research branch chief must approve the request. Depending on staff skills and availability, the editor may need to request that the ISKM branch chief approve the project.

Please note that PIs are not authorized to promise or honor sponsor requests for departures from ERDC publication policy, standards, or formats without appropriate coordination and approval. Also, no publication format modifications will be made for reasons of aesthetics, marketing appeal, or other arbitrary considerations.

# 5.7 Applying ERDC branding and trade dress

"Trade dress consists of all the various elements that are used to promote a product or service" (Stim 2017). For ERDC publication products, trade dress includes the elements of ERDC branding (e.g., the ERDC graphic, ERDC report template design). Researchers must not use ERDC branding on any publication that is not reviewed by a technical editor and assigned by ISKM to one of the document series defined in chapter 2.

# 5.8 Print runs for secondary distribution

Professionally printed hard copies are not required for publication of ERDC technical information. Authors may obtain printed copies for secondary distribution, for any of the reasons specified in CR 25-30-1, through ACE-IT, which is tasked with performing ERDC and other U.S. Army Corps of Engineers (USACE) printing, by contacting them by telephone or via the online service desk, \* and then by working with the print specialist. Note that researchers are prohibited from including printing services in contracts for engineering and research services (Joint Committee on Printing 1990, para. 35-1).

#### 5.9 Classified information

ERDC research results sometimes produce information that has been classified by an original classification authority as defined in Chapter 2 of AR 380-5 (2000). Technical editors with the appropriate security clearance are available to edit and appropriately mark classified information. All requests for the editing of classified information must be directed to the ISKM branch chief. Each request and editorial assignment will be handled on a case-by-case basis.

<sup>\* 888-562-5348;</sup> https://aceit.usace.army.mil/Support/printandpubs/Pages/Printing.aspx

# **6** Summary

This updated author's guide describes and outlines the seven phases of document preparation:

- 1. Planning, including the selection of an appropriate ERDC document series (chapter 2)
- 2. Composition, including content requirements of ERDC publications (chapter 3)
- 3. Editing, including specific steps of the technical publishing process (chapter 4)
- 4. Technical review and sponsor acceptance
- 5. ERDC approval to publish
- 6. Final preparation and QR
- 7. Dissemination.

Chapter 5 of this report provides useful advice on how to meet exceptional report requirements.

Publishing is an important requirement of all research projects. The guidelines summarized here can help researchers work with the ERDC editing staff to ensure that all requirements for publication deliverables are met and that the results of their research are disseminated to a wide audience.

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# **Acronyms and Abbreviations**

Term Definition

ANSI American National Standards Institute

AR Army Regulation

ASP ACE-IT Service Portfolio

BC Branch Chief

CEFMS Corps of Engineers Financial Management System
CERL Construction Engineering Research Laboratory

CHL Coastal and Hydraulics Laboratory
CR Contract Report, also Center Regulation

CRREL Cold Regions Research and Engineering Laboratory

CY Calendar Year

DoD U.S. Department of Defense

DoDI Department of Defense Instruction

DoDM Department of Defense Manual

DTIC Defense Technical Information Center

EL Environmental Laboratory

ERDC U.S. Army Engineer Research and Development Center
ESTCP Environmental Security Technology Certification Program

FAD Funding Authorization Document
FOIA Freedom of Information Act
FOUO For Official Use Only
FIRE Fiber Reinforced Rolumor

FRP Fiber-Reinforced Polymer
GFRP Glass Fiber-Reinforced Polymer
GRL Geospatial Research Laboratory

GSL Geotechnical and Structures Laboratory

ISKM Information Science and Knowledge Management Branch

ITL Information Technology Laboratory

LR Letter Report

MIO Management Integration Office

MIPR Military Interdepartmental Purchase Request

MP Miscellaneous Paper

NISO National Information Standards Organization

OMA Operations and Maintenance, Army

PI Principal Investigator
POC Point of Contact
ppi Pixels per Inch
QR Quality Review

RDTE Research, Development, Test, and Evaluation

SERDP Strategic Environmental Research and Development Program

SI International System of Units

SF Standard Form SR Special Report

STIP Scientific and Technical Information Program

TN Technical Note
TR Technical Report

# **Appendix A: Frequently Asked Questions**

# Q: I've worked at ERDC for 2 years now and have never written or published a report. Why should I bother?

A: Most researchers publish the results of their work because it's in their personal interest, and it's good for the organization. Publishing advances their careers, increases and improves the body of knowledge in their field, and meets DoD requirements for researchers to publish their results so other researchers do not duplicate the work you've already done. Table A-1 summarizes the publication requirements that affect ERDC researchers.

Sponsor	Budget Activity	Requirement
DoD	"R&E. Includes science and technology programs (consisting of basic research, applied research, and advanced technology development) programs, which are identified as BAs 1, 2, and 3 respectively, in Reference (d)."*  Source: DoD Instruction 3200.12.	"all results, regardless of outcome, of DoD R&E and studies efforts sponsored in whole or in part by the DoD, are documented and sent to the DTIC."  Source: DoD Instruction 3200.12.
	Source: Dod Instruction 3200.12.	Source: Dod instruction 3200.12.
Army	"Army-sponsored research, development, test, and evaluation (RDTE) despite security classification."	"Authors of scientific and technical reports will promptly document all completed scientific and technical RDTE sponsored by the DA. All technical reports must be submitted to the Defense Technical Information Center (DTIC) within 10 work days from the date of publication. The principal document representing the culmination of a completed notable scientific and technical effort will be in the form of the technical report that is formatted in accordance with ANSI/NISO Z39.18–2005 (R2010)."
	Source: Army Regulation (AR) 70-31.	Source: AR 70-31.
ERDC		ERDC also applies publishing requirements to research and engineering studies sponsored through other DoD efforts, nonmilitary government research programs, or by external agencies.
*Research	n and Engineering (R&E)	•

Table A-1. Summary of DoD, Army, and ERDC publication requirements.

# Q: Technical Report formatting seems awkward. Why can't I just create my own report that "dives right into" the content?

A: The Technical Report is an important reporting product on the DoD and Army levels. For this reason, the Technical Report series is ERDC's principal technical publication; the TR is the project record that fulfills the reporting requirement of AR 70-31. ERDC implements DoD and Army Scientific and Technical Information Program (STIP) publishing policies in CR 25-30-1, ERDC Technical Publishing and Printing (ERDC 1999), and the present guide.

The content of a TR is based on the objectives and standards given in AR 70-31, which prescribes the use of ANSI/NISO Z39.18-2005 (ANSI/NISO 2010).

#### Sources:

AR 70-31, Standards for Technical Reporting (June 2018).

ERDC Center Regulation (CR) 25-30-1, ERDC Technical Publishing and Printing.

# Q: My project is small. Why can't I finish it up by sending my sponsor a short summary of results in a Technical Note or a Letter Report?

The TN cannot substitute for a TR. That is, it cannot serve as the sole documentation of a sponsored research project. Similarly, an LR may not serve as closeout documentation for any DoD-sponsored research or engineering study.

#### Source:

AR 70-31, Standards for Technical Reporting (June 2018).

# Q: Why can't I just take my report down a local copy shop and do my own printing?

A: ACE-IT is tasked with handling the USACE\* print mission. The ERDC editor can put you in contact with the ACE-IT print specialist, who can coordinate the print process.

Note that ERDC's principal publishing medium is the digital PDF file. ISKM staff accomplish primary distribution by publishing technical documents, in PDF format, to an email-based subscription list, DTIC, and other technical libraries as appropriate. ISKM staff handle secondary distribution by posting a copy of the final PDF file to the web-based ERDC digital repository and responding to internal or external requests for the report in compliance with the distribution statement as applied in accordance with DoDI 5230.24.

#### Source:

DoDI 5230.24. 2012. Subject: Distribution Statements on Technical Documents. Washington, DC: OUSD(AT&L).

# Q: Can I reference material that hasn't been published?

A: The short answer is "Yes."

Researchers gather information from a wide variety of sources. Some sources may be finalized and printed, but are not publicly available, like internal government or corporate reports. Other sources may not even exist in print, like interviews or other personal communication. Your editor may recommend that these references be handled in one of two ways:

<sup>\*</sup> U.S. Army Corps of Engineers (USACE).

1. The recommended strategy is to construct the standard reference located in a page-bottom footnote (so the author-date citation is unnecessary).

When you build these references, include as much of the same bibliographic information that that you would use in a standard reference, especially the name of the source, the date of the information, the title or a description of the information, the type or medium of communication, and location. For example, if you were referencing an ABC Construction Company financial projection for 2019 authored in 2018, you would construct it as

ABC Construction Company. 2018. *Financial Projections for 2019*. Internal corporate document. Decatur, IL: ABC Construction Company.

If you interviewed George Smith, the president of ABC Construction Company, regarding their financial projections for 2019, you would build the reference as

Smith, George. 2018. Telephone interview, 03 June 2018. Subject: Financial projections for 2019.

2. Another strategy is to cite the unpublished communication parenthetically in text: (Julie Cantor, personal communication), (Brenda Hasbrouk, text message to author, 5 May 2018), or (A. P. Moeller, unpublished data.) (See *Chicago Manual*, section 15.53, p. 918.)

#### Q: Can I reference material that is still in draft form?

A: The short answer is "No."

Citation of a draft document may introduce errors into your technical publication. All the draft content (authors, title, and technical content) is subject to change. In fact, the document itself may never even be published.

### Q: Can I reference classified or FOUO material?

Again, the short answer is "Yes."

However, be aware that quoted classified material carries the classification with it. If you quote classified material, your report (or at least the part of the report that contains the classified content) will become classified as well, and will have to be marked as classified.

The same is true when you quote FOUO content. Your report (or at least the part of the report with the FOUO content) will become FOUO as well, and must be marked as FOUO.

Additionally, you can list a classified or FOUO report in a bibliography without changing the security classification or FOUO requirement of your report — as long as you do not include classified or FOUO content in your report.

#### Source:

AR 380-5. 2000. *Department of the Army Information Security Program*. Section 5-3, "Marking." Washington, DC: HQDA, p. 58.

# **Appendix B: Sample Content**

## **B.1** Report cover

Figure B-1 shows a representative example of a laboratory-level ERDC TR cover and title page. This style of cover and title page is used when all authors work within the same ERDC laboratory. Note that the report number, which appears on both pages, includes the laboratory abbreviation in its prefix.

If the example report had been coauthored by a contractor, his or her name would be included on the cover with the laboratory authors. On the title page, however, the contractor's name and organizational affiliation would be shown below the laboratory author names and affiliation, using the same presentation format.

Figure B-2 shows a representative example of a Center-level report cover and title page. This style of cover and title page is used for reports authored by personnel from two or more ERDC laboratories. Note that the report number, which appears on both pages, does not include a laboratory abbreviation in its prefix. Also note how authors from each participating laboratory are listed separately on the title page.



Figure B-1. Sample cover and title page for laboratory-level reports.

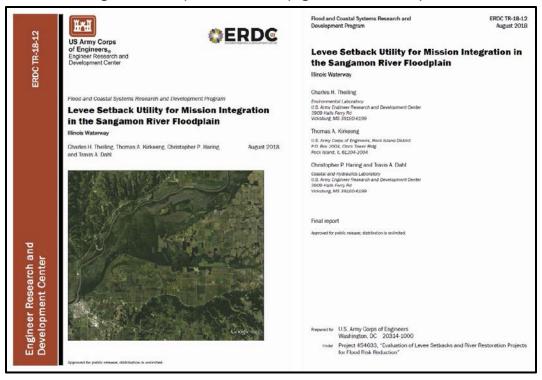


Figure B-2. Sample cover and title page for Center-level reports.

If this example Center-level report had been coauthored by a contractor, the author's name would be included on the cover with the ERDC authors. On the title page, however, the contractor's name and organizational affiliation would be shown separately from the ERDC authors, using the same presentation format.

# **B.2** Preface wording

Figure B-3 shows an example of a TR Preface. In addition to the basic content requirements described in section 3.2.6 (p 12), this sample includes supplementary program information and acknowledgments of external research partners (Paragraph 1). If this Preface had included any acknowledgments related to the preparation of the report, those would have been included in Paragraph 2.

The supervisors, managers, and executives named in the Preface are the individuals who were in those positions during final preparation of the report (indicated by the date on the report cover), including personnel officially serving in an acting capacity.

Figure B-3. Preface sample showing content requirements and general writing style.

This study was conducted for the Office of the Assistant Secretary of the Army for Acquisition, Logistics, and Technology (ASA(ALT)) under Research, Development, Test, and Evaluation Program Element 62272889600 A896, "Base Facilities Environmental Quality"; Project A1160-FY15, "Integrated Climate Assessment for Army Enterprise Planning"; P2 402188, "Ability to Expand" The technical monitor was Alan B. Anderson (CEERD-CZT).

The work was performed by the Energy Branch of the Installations Division (CEERD-CFE), U.S. Army Engineer Research and Development Center, Construction Engineering Research Laboratory (ERDC-CERL). At the time of publication, Giselle Rodriguez was Chief, CEERD-CFE; Donald K. Hicks was Chief, CEERD-CN; and Alan B. Anderson, CEERD-CZT, was the Technical Director for Environmental Quality/Sustainable Lands and Ranges. The Deputy Director of ERDC-CERL was Dr. Kirankumar Topudurti and the Director was Dr. Lance D. Hansen.

COL Ivan P. Beckman was Commander of ERDC, and Dr. David W. Pittman was the Director.

# **B.3** Equations

Equations other than simple, single-line expressions should be inserted using either the MS Equation Editor, which is built into Word, or Math-Type, which is a professional version of the Equation Editor that is compatible with MS Word. Each equation is centered between the left and right page margins, and the equation number is set flush right, within parentheses, without a label. Figure B-4 shows the typical placement of an equation, its number, and its definition of terms.

The default MathType preferences for equation fonts and character sizes are embedded in the ERDC templates. Also, the desired alignments for equations, caption numbers, and equation terms are built into the tab settings of the *Equation* and *Equation Terms* style tags. If needed, ISKM staff can provide assistance with equation-formatting.

Figure B-4. Typical style for presenting equations and terms.

$$\frac{f'_{cc}}{f'_{co}} = 1 + 3.3 \frac{f_l}{f'_{co}},\tag{1}$$

where

 $f'_{cc}$  = compressive strength of confined concrete  $f'_{co}$  = compressive strength of unconfined concrete

 $f_l$  = lateral confined pressure by GFRP wraps.

#### **B.4** References and citations

A bibliographic entry should contain sufficient information to lead the reader to the same document in which the author found the cited information. Most bibliographic entries contain the following four generic fields of information, in the following order

1 2 3 4

Author(s). Year of Publication. Title. Unique Publisher Identifiers.

These four fields are expressed differently for different types of publications (books, journal articles, web pages or sites, presentations, etc.):

- 1. *Author(s)*. The bibliographic entry normally includes all authors. If a cited work has more than 10 authors, only the first seven need be listed, followed by the term et al. (Chicago Manual 2017, 14.76, 787). The first author is listed surname first. Subsequent authors are listed: first name, initial, surname). Reports, standards, etc. that do not list personal authors list the publishing agency as author. Individual authors are separated with a comma, and the Authors(s) field ends with a period.
- Year of Publication. The four digit year alone is included in the bibliographic entry.
- 3. *Title(s)*.
  - a. For a stand-alone publication (book, journal, newspaper, web site, etc.), the title is italicized, and listed with all principal words capitalized.
  - b. In a publication within a publication (chapter in a book, article within a journal or newspaper, web page within a web site, etc.), the included publication is listed first, with the first word of the title capitalized, and the remaining non-proper words lower-cased. The stand-alone publication title follows, with all principal words capitalized.
- 4. Unique publisher identifiers.
  - a. In its simplest form (e.g., books), the unique identifier is the publisher's location and name, separated with a full colon.
  - b. Journal articles are identified by their volume, number, and page range, and (optionally) doi locator, and Universal Resource Locator (URL).
  - c. ERDC reports, HQUSACE publications, standards, etc. are identified by their number; and publisher's location and name, separated with a full colon; and (optionally) doi locator and URL.

In-text "Author-Date" citations list the authors' surnames and the publication year parenthetically, thus: (Andrew 1966). If the cited publication has four or more authors, list the first author along with the Latin abbreviation for "and others" (et al.), thus: (Arp et al. 2010). If an agency is listed as the author, and the agency name is commonly abbreviated (e.g., "HQUSACE") then the agency name and abbreviation is listed in the author field of the reference entry, abbreviation first, thus: HQUSACE (Headquarters, U.S. Army Corps of Engineers), and the abbreviation is used in the in-text citation, thus: (HQUSACE 2012). Table B-1 lists commonly used sample bibliographic entries.

Table B-1. Sample bibliographic entries.

Туре		Reference	In-Text Citation (Author Year)	
Book	Form	Author(s). Year. Book Title. Publisher Location: Publisher.		
	Example	Andrew, M. R. 1966. An Introduction to Fuel Cells. New York: Elsevier Publishing Company.	(Andrew 1966)	
Chapter in book	Form	Author(s). Year. "Chapter Title." Book Title. Publisher Location: Publisher.		
	Example	Andrew, M. R. 1966. "Irreversible Losses in Fuel Cells." An Introduction to Fuel Cells. New York: Elsevier Publishing Company.	(Andrew 1966)	
Journal Article	Form	Author(s). Year. "Article Title." <i>Journal Title</i> . Volume(Number): Page range, doi (optional). <u>URL</u> (optional).		
	Example	Fagnan, D. R., P. R. Gattens, and F. D. Johnson. 1990. "Monitoring Solar Magnetic Disturbances in Power Systems (a Summary)." <i>IEEE Power Engineering Review</i> . 10(11):4-6. doi:10.1109/39.60451.	(Fagnan, Gattens, and Johnson 1990)	
Journal article with four or more	Form	Author(s). Year. "Article Title." <i>Journal Title</i> . Volume(Number): Page range, doi (optional). <u>URL</u> (optional).		
authors	Example	Arp, C. D., B. M. Jones, M. Whitman, A. Larsen, and F. E. Urban. 2010. "Lake Temperature and Ice Cover Regimes in the Alaskan Subarctic and Arctic: Integrated Monitoring, Remote Sensing, and Modeling." <i>JAWRA Journal of the American Water Resources Association</i> 46 (4):777–91. https://doi.org/10.1111/j.1752-1688.2010.00451.x	(Arp et al. 2010)	
ERDC report	Form	Author(s). Year. Title. Number. Publisher Location: Publisher. <u>URL</u> (optional).		
	Example	Van Blaricum, Vicki L., Kevin Russell, and Robert Broadwater. 2016.  Demonstration of a Model-Based Technology for Monitoring Water Quality and Corrosion in Water-Distribution Systems: Final Report on Project F07-AR05. ERDC/CERL TR-16-25. Champaign, IL: ERDC-CERL.  http://hdl.handle.net/11681/20461.	(Van Blaricum, Russell, and Broadwater 2016)	
HQUSACE	Form	Agency. Year. Title. Number. Publisher Location: Publisher. <u>URL</u> (optional).		
document	Example	HQUSACE (Headquarters, U.S. Army Corps of Engineers). 2012. Building Air Tightness and Air Barrier Continuity Requirements. Engineering and Construction Bulletin (ECB) 2012-16, Washington, DC: HQUSACE. https://www.wbdg.org/FFC/ARMYCOE/COEECB/ARCHIVES/ecb_2012_16.pdf.	(HQUSACE 2012)	
HQDA document	Form	Agency. Year. Title. Number. Publisher Location: Publisher. <u>URL</u> (optional).		
	Example	HQDA (Headquarters, Department of the Army). 1989. Engineer Operations: Echelons Above Corps. Field Manual (FM) 5-116 Washington, DC: HQDA. http://library.enlisted.info/field-manuals/series-1/FM5_116/TOC.PDF.	(HQDA 1989)	

Туре		Reference	In-Text Citation (Author Year)
Industry standard	Form	Agency. Year. Title. Number. Publisher Location: Publisher.	
	Example	ACI (American Concrete Institute) Committee 440. 2008. Guide for the Design and Construction of Externally Bonded FRP Systems for Strengthening Concrete Structures. ACI 440.2R-08. Farmington Hills, MI: ACI.	(ACI 2008)
Web page	Form	Author or Agency. Year. Web Page Title. Web Site Title. URL (optional).	
	Example	armybases.org. 2018. Fort Drum, NY. U.S. Army Bases: History, Locations, Maps & Photos. http://armybases.org/fort-drum-ny-new-york/.	(armybases.org. 2018)
Presentation	Form	Author(s). Year. Presentation Title. Publisher Location: Publisher.	
	Example	Holmes, R., and E. Jenicek. 2010. Army Installations Water Sustainability Study. PowerPoint Presentation. Champaign, IL: Engineer Research and Development Center, Construction Engineering Research Laboratory (ERDC-CERL).	(Holmes and Jenicek 2010)
Memorandum	Form	Agency. Year. Document type. Subject Heading, Agency location: Agency name. <u>URL</u> (optional).	
	Example	DA (Department of the Army). 2013. Memorandum. Subject: Sustainable Design and Development Policy Update. Washington, DC: Assistant Secretary of the Army for Installations, Energy and Environment (ASA[IE&E]). http://www.asaie.army.mil/Public/IE/doc/ASA(IEE)-SDD-policy-update-(16-Dec-2013).pdf.	(DA 2013)
Unified Facilities Criteria	Form	Preparing Agency. Year. Title. Number. Publisher's location: Publishers' Names. <u>URL</u> (optional).	
	Example	NAVFAC (Naval Facilities Engineering Command) (Preparing Agency). 2016. Fire Protection Engineering for Facilities. Unified Facilities Criteria (UFC) 3-600-01. Washington, DC: U.S. Army Corps of Engineers (USACE), NAVFAC, and U.S. Air Force Civil Engineer Center (AFCEC). https://www.wbdg.org/ffc/dod/unified-facilities-criteria-ufc/ufc-3-600-01.	(NAVFAC 2016)
Named law	Form	Law Name. Date. Public law number. Chapter, Statute number (U.S. code number and paragraph[s]).	
	Example	Flood Control Act of 1928, May 15, 1928, Pub. L. No. 70-391, Ch. 569, 45 Stat. 534 (33 U.S.C. 702a et seq.).	(Flood Control Act of 1928)
Numbered law	Form	H.R. Doc No. Date. Title. Congress. Session.	
	Example	H.R. Doc. No. 798. February 28, 1931. Control of Floods in the Alluvial Valley of the Lower Mississippi River. 71st Cong., 3d Sess.	(H.R. 798)
Executive Order	Form	Agency. Year. Title. Number. Federal Register Volume(Number):Page range. <u>URL</u> (optional).	
	Example	White House, The. 2018. Efficient Federal Operations. EO 13834. Federal Register 83(99):23771-23774. https://www.gpo.gov/fdsys/pkg/FR-2018-05-22/pdf/2018-11101.pdf.	

# **B.5** List of acronyms and abbreviations

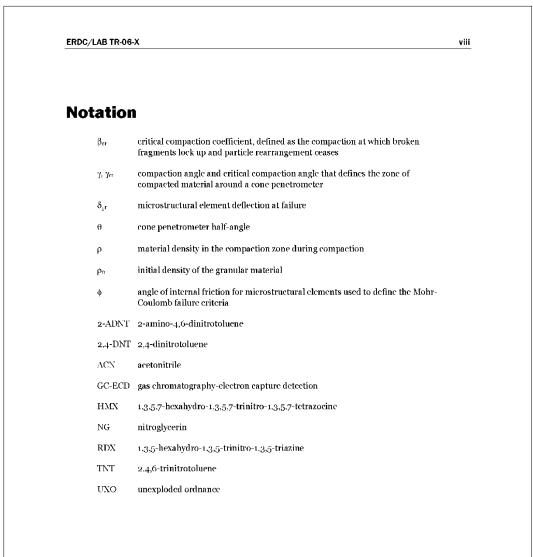
Acronyms and abbreviations should be spelled out on their first use in text. Include a list of acronyms and abbreviations if five or more of these terms are used in the document. The list on page 36 provides an example.

#### **B.6** Notation list

Figure B-5 shows a sample notation list. This list, which appears after the table of unit conversion factors, defines scientific notations, mathematical symbols, and purely technical terms used in the report. The notation list is

optional, but ANSI/NISO (2010 para. 5.5.5, 28) recommends that the author provide a notation list if the document contains five or more terms "that are not readily recognized as standard in the field."

Figure B-5. Sample notation list.



#### **B.7** Unit conversion factors

The preferred standard for units of measurement is the International System of Units (SI). If another system is used (e.g., the inch-pound [IP] system), the corresponding SI units may appear in parentheses. Alternately, the report may provide a table of conversion factors. The ERDC TR word-processing template includes a sample table. Authors may add needed units to and delete unused units from the sample list. Figure B-6 shows a subset derived from the master table as it might appear in an ERDC TR.

Multiply	Ву	To Obtain
British thermal units (International Table)	1,055.056	joules
cubic inches	1.6387064 E-05	cubic meters
cubic yards	0.7645549	cubic meters
degrees (angular)	0.01745329	radians
degrees Fahrenheit	(F-32)/1.8	degrees Celsius
Feet	0.3048	meters
miles (nautical)	1,852	meters
miles (U.S. statute)	1,609.347	meters
pounds (force)	4.448222	newtons
square feet	0.09290304	square meters

Figure B-6. Sample conversion factors table.

# **B.8** Report Documentation Page (SF 298)

The Report Documentation Page is prepared by filling out an SF 298 using project documentation provided by the author. It is the last page in the report, presented after all other back matter. The Report Documentation Page is usually completed by ISKM staff during final draft preparation, after an official report number has been assigned. The *abstract* (block 14) may be no more than 200 words, as required by DTIC, and is identical to the one presented in the front matter. The *subject terms* (block 15) are key words used for library cataloging purposes. These terms are technical words or short phrases that identify the principal subjects covered in the report. They also may include relevant equipment model designations, trade names, military project code names, or geographic locations.

Because electronic posting to the World Wide Web is the primary mode of distribution for ERDC technical publications, a copy of the *distribution list* is rarely included in an ERDC report. An exception to this rule would be justified by a request from the sponsor, in which case the distribution list would appear as the page immediately before the SF 298.

# Appendix C: Distribution Statements and FOUO Marking

#### **C.1** Distribution statements

The PI selects a distribution statement from the seven primary distribution statements required by Department of Defense Directive (DoDI) 5230.24, Change 1 (28 April 2016) indicated on the front of ERDC Form 7. The selected statement will be printed on the cover, title page, and Report Documentation Page of every ERDC technical publication. Only reports carrying Statement A may be posted to the World Wide Web with unrestricted access. Distribution Statement A will not be used on classified documents. Note that DoDI 5230.24 dictates that "Distribution Statement F will not be used on classified or unclassified scientific and technical documents governed by the DoD Scientific and Technical Information Program described in [DoDI 3200.12]." The remaining distribution statements, and authorized justifications for their application, are listed below. Consult DoDI 5230.24 for a complete explanation of the justifications.\*

**Statement A:** Approved for public release; distribution unlimited.

**Statement B:** Distribution authorized to U.S. Government Agencies only; (fill in reason); (date). Other requests for this document will be referred to (insert controlling DoD office).

Authorized justifications include

- Foreign Government Information
- Proprietary Information
- Critical Technology
- Test and Evaluation
- Contractor Performance Evaluation
- Premature Dissemination
- Administrative or Operational Use
- Software Documentation
- Specific Authority (identification of valid documented authority).

<sup>\*</sup> In some cases, a contractor retains ownership of intellectual property delivered to the Government so the Government does not have "unlimited rights" to that intellectual property. In such cases, the Contractor may mark the information with an appropriate "restrictive legend" (i.e., its own limited distribution). In most of these cases, the Government will assign Distribution Statement B, E (or F) to the work, and the reason will be "Proprietary Information."

**Statement C:** Distribution authorized to U.S. Government Agencies and their contractors; (fill in reason); (date). Other requests for this document will be referred to (insert controlling DoD office).

#### Authorized justifications include

- Foreign Government Information
- Critical Technology
- Software Documentation
- Administrative or Operational Use
- Specific Authority (identification of valid documented authority).

**Statement D:** Distribution authorized to the Department of Defense and U.S. DoD contractors only; (fill in reason); (date). Other requests will be referred to (insert controlling DoD office).

### Authorized justifications include

- Foreign Government Information
- Administrative or Operational Use
- Software Documentation
- Critical Technology
- Specific Authority (identification of valid documented authority).

**Statement E:** Distribution authorized to DoD Components only; (fill in reason); (date). Other requests will be referred to (insert controlling DoD office).

### Authorized justifications include

- Direct Military Support
- Foreign Government Information
- Proprietary Information
- Premature Dissemination
- Test and Evaluation
- Software Documentation
- Contractor Performance Evaluation
- Critical Technology
- Administrative or Operational Use
- Specific Authority (identification of valid documented authority).

**Statement F:** Further dissemination only as directed by (insert controlling DoD office) (date) or higher DoD authority.

Note that, to promote the free flow of information within DoD, Distribution Statement F will not be used on classified or unclassified scientific and technical documents governed by the DoD Scientific and Technical Information Program (DoDI 5230.24).

Figures B-1 and B-2 (Appendix B, p. 41) show where distribution statements are positioned on report covers and the title pages.

A distribution statement remains in effect until it is changed or removed by the controlling DoD office. When notified by the controlling DoD office that distribution is no longer restricted, ISKM staff will notify primary distribution recipients and authorized document handling facilities that Statement A should be applied.

# C.2 FOUO marking

To comply with AR 380-55 and AR 25-5, ERDC documents that contain information determined to qualify for FOUO status will be appropriately marked to promote proper protection of the information. Wholly unclassified documents and material containing FOUO information will be marked "FOR OFFICIAL USE ONLY," in bold-faced letters at least 3/16 of an inch high (e.g., Franklin Gothic Demi, 16 pt)

- 1. At the bottom on the outside of the front cover
- 2. On the title page
- 3. Centered in the header and footer of each page
- 4. On the outside of the back cover.

# Appendix D: The Publishing Sequence — and What You Need to Do

# **D.1** Publication steps

The publishing sequence is a fairly long and detailed process. Table D-1 summarizes the steps of the publishing process, and highlights the actions that require direct author participation. In general, the author is directly involved in four principal steps, which (sometimes) require up to three ERDC forms:

Contact the editor. Whether you are planning a project that will produce a report, beginning to write a report, or have a draft manuscript in hand, consult with the editor, who will provide guidance on how to proceed, estimate costs, and help you initiate the editing process. A list of the ERDC editing staff, their laboratory associations, and contact information is available through the ERDC intranet at

https://intranet.usace.army.mil/erdc/editing/Pages/Editing Staff.aspx

Table D-1 shows this web page, current at the time of this writing.

Each report must be approved for editing using ERDC Form 7, "Editing and Publishing Instruction." Most commonly, your editor can provide this form, fill it out, and assist with routing. Section D.2 includes information on procuring ERDC Form 7.

- 2. **Create an in-house labor PR&C**. Once the editor has estimated your publishing project, you will need to contact the Management Integration Office (MIO) to set up an in-house PR&C to cover editorial labor. Note that this step is the PI's responsibility. Editors cannot ask for a PR&C for their own labor to be set up on your funds.
- 3. **Participate in the editorial review**. The editor needs your help to prepare a high-quality, accurate final product in a timely way. At several stages of the edit, the editor will request your review and honest feedback. Respond as quickly as you can to keep the project on track.
- 4. Facilitate the approval process. Some ERDC laboratories use ERDC Form 9 (and the Cold Regions Research and Engineering Laboratory [CRREL] also uses ERDC Form 92E) for routing and final approval of each report. Again, your editor can provide this form, help fill it out, and assist with routing. Section D.2 includes information on procuring these forms. One obstacle in the publishing process is a stalled review. Feel free to contact the editor to follow up on slow or untimely reviews.

Table D-1. The publishing sequence with author actions highlighted).

			Person with action:		
	Task	Author/POC*	Editor or ISKM Staff	Author's BC	
1	Consult with editor about publication series, requirements, etc.	<b>√</b>			
2	Write draft. (Use a MS Word file based on the ERDC report template. Include required Preface info [name, office symbol, funding, etc.])	✓			
3	Have draft peer reviewed and approved for editing per branch process.	✓			
4	Fill out ERDC Form 7 and have it signed by your BC. (Include a Work Item Code to source editing funds; specify distribution statement, etc.)	✓		✓	
5	Send the draft and Form 7 to editor for estimate.	✓			
6	Estimate cost to edit the document.		✓		
7	Create in-house labor PR&C per estimate and see that editor receives it. (Use local branch MIO contact.)	✓			
8	Edit the document; return it to author with comments/queries.		✓		
9	Respond to editing queries/changes; return the doc to the editor.	✓			
10	Incorporate author responses; return the doc to author for approval.		✓		
11	Ensure that all other authors approve the document.	✓			
12	Communicate further changes, if needed, to the editor.	✓			
13	Incorporate further changes if needed.		✓		
14	Prepare the document and review memo for sponsor/lab review.		✓		
15	Receive the sponsor/lab response and make changes as needed.	✓	✓		
16	Route the document to the sponsor/lab for approval. (Use ERDC Form 9 or ERDC Form 92E as required.)		✓		
17	If applicable, route the document to author (s) to approve the final document. (At some sites, note that lab review includes this step.)	✓			
18	Route the document to the BC for approval to publish. (At some sites, note that lab review includes this step.)		✓		
19	Review the document and sign the BC approval to publish memo and return it to editor. (Note that lab review includes this step.)			✓	
20	Submit the signed BC approval memo to receive report number.		✓		
21	Submit a PDF of the numbered document for quality review (QR).		✓		
22	Make corrections per QR summary sheet and marked pages.		✓		
23	Prepare the final PDF and send it to ISKM staff for cataloging and (for reports with unlimited distribution) digital publication.		✓		
24	Post the publication to the ERDC Library digital repository.		✓		
25	Notify authors and BC of the publication's link and digital object identifier (DOI) by email.		✓		
26	Send notice of publication to the subscription list(s) indicated by the editor, based on those specified in Form 7.		✓		
27	Send the publication to DTIC.		✓		
28	Make the final publication files available to the POC if desired.		✓		
*Poir	nt of Contact (POC)				

Edi	ting Staff				
Editin	g Staff are listed below. Library Staff can be found at: https	://intranet.usac	e.army.mil/erdc/librar	y/Pages/staff.aspx	
~	Name	Office Symbol	Position Title	Organization	Phone Number
	☐ Mcmanus, Molly S CIV USARMY CEERD (US)	CEERD-IS-L	Chief, ISKM	ITL	601-634-4122
	☐ Cohen, Gordon L CIV CEERD CEERD (US)	CEERD-IS-L	Writer/Editor	CERL	217-373-6711
	$\ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ \ $	CEERD-IS-L	Writer/Editor	EL	601-634-4040
	☐ Miles, Kathleen K CIV (US)	CEERD-IS-L	Writer/Editor	GSL	601-634-7234
	☐ Moynihan, Emily B CIV USARMY CEERD-CRREL (US)	CEERD-IS-L	Writer/Editor	CRREL	603-646-440
	☐ Mullen, Bill K CTR USARMY CEERD-ITL (US)	CEERD-IS-L	Writer/Editor	GSL	601-634-206
	☐ Nelson, Stanton L Jr CIV USARMY CEERD-CRREL (US)	CEERD-IS-L	Writer/Editor	GRL,ITL	603-646-498
	☐ Noellsch, Jean S CTR USARMY CEERD-CERL (US)	CEERD-IS-L	Writer/Editor	CERL	217-373-455
	☐ Reid, Lisa P CIV USARMY CEERD (US)	CEERD-IS-L	Writer/Editor	Executive Office	601-634-356
	☐ Reinhart, Vicki A CIV USARMY CEERD-ITL (US)	CEERD-IS-L	Editorial Assistant	CERL	217-373-582
	☐ Taylor, Karen J CIV (US)	CEERD-IS-L	Editor/Support	ERDC	601-634-341
	☐ Tullos, Tony L CIV USARMY CEERD-ITL (US)	CEERD-IS-L	Writer/Editor	CHL	601-634-2572
	☐ Wolfe, William J CIV USARMY CEERD-ITL (US)	CEERD-IS-L	Writer/Editor	CERL	217-373-4520

## **D.2** Publication forms

For help locating or filling any publications form, please contact an ERDC editor. ERDC Form 7 is available through the ERDC intranet at

https://intranet.usace.army.mil/erdc/pubs/Pages/Forms.aspx

The PDF version of this report also includes the form as an embedded object that may be opened by clicking the image of Form 7 shown in Figures D-2 and D-3.

ERDC Form 9 is available through the ERDC intranet at <a href="https://intranet.usace.army.mil/erdc/pubs/admin\_pubs/ERDC009.pdf">https://intranet.usace.army.mil/erdc/pubs/admin\_pubs/ERDC009.pdf</a>

The PDF version of this report also includes the form as an embedded object that may be opened by clicking the image of Form 9 shown in Figure D-4.

ERDC Form 92E is available through the ERDC intranet at <a href="https://intranet.usace.army.mil/erdc/pubs/admin\_pubs/ERDC092E.pdf">https://intranet.usace.army.mil/erdc/pubs/admin\_pubs/ERDC092E.pdf</a>

The PDF version of this report also includes the form as an embedded object that may be opened by clicking the image shown in Figure D-5.

# D.2.1 ERDC Form 7

Figure D-2. ERDC Form 7, front of form.

		Prir	nt Form	Save As	E-mail
U.S. Army Engineer Research and Development Center					
TECHNI	CAL EDITING AND F The proponent age			TIONS	
1. DOCUMENT TITLE:					
2. DOCUMENT SERIES: TR	□TN □SR	MP	CR	□LR	Other
3. FORMAT AND STYLE: ERDC	Other, Describe				
4. POC:		5. WORK ITE	M CODE:		
6. NOTIFICATION LIST: (Please select up to th	ree from the drop down list	)			
Please select one!					-
Please select one!					-
Please select one!					•
	7. REQUIRI	ED NOTICES			
DISTRIBUTION STATEMENT. Indicate which o			D Directive 52	30.24 and Army Reg	gulation 70-11) is to be put
on front cover and SF 298 of report. If Statemer	nt B, C, D, or E is to be used	d, please indica	te which of the	e reasons is to be cit	ed.
DISTRIBUTION STATEMENT A: Approve	ed for public release; distrib	ution is unlimite	ed.		
DISTRIBUTION STATEMENT B: Distributi		ernment Agenci	es only; (fill in	reason); (date). Oth	er requests for this
document shall be referred to (insert contro	_				
Foreign Government Information	Proprietary Informa			Critical Techno	
Test and Evaluation	Contractor Perform	ance Evaluatio	n	Premature Diss	semination rity (identification of valid
Administrative or Operational Use	Software Documen	tation		documented a	* 1
DISTRIBUTION STATEMENT C: Distribution requests for this document shall be referred			es and their co	ontractors; (fill in rea	son); (date). Other
	_	Jilice)		Coffware David	
Foreign Government Information	Critical Technology  Specific Authority (i	dentification of	valid	Software Docu	mentation
Administrative or Operational Use	documented author				
DISTRIBUTION STATEMENT D: Distributi Other requests shall be referred to (insert or	•	tment of Defen	se and U.S. D	oD contractors only;	(fill in reason); (date).
	Critical Technology			Software Docu	montation
Foreign Government Information	Specific Authority (i		valid	Soliware Docu	mentation
Administrative or Operational Use	documented author	••			
DISTRIBUTION STATEMENT E: Distributi (insert controlling DoD Office).	on authorized to DoD Com	ponents only; (	fill in reason);	(date). Other reques	s shall be referred to
Direct Military Support	Foreign Governmer	nt Information		Proprietary Info	ormation
Premature Dissemination	Test and Evaluation			Software Docur	
Contractor Performance Evaluation	Critical Technology			Administrative	or Operational Use
Specific Authority (identification of valid doc	cumented authority)			_	
ERDC FORM 7, AUG 2016	PREVIOUS	EDITIONS AR	E OBSOLETE		Page 1 of 2

ERDC Form 7 is accessible through URL: <a href="https://intranet.usace.army.mil/erdc/pubs/Pages/Forms.aspx">https://intranet.usace.army.mil/erdc/pubs/Pages/Forms.aspx</a>

Figure D-3. ERDC Form 7, back of form.

	Print Form	Save As	E-mail		
DISPOSITION INSTRUCTIONS: Unless special instructions regarding the report's disposition are necessary, one of the following notices will be used.					
Unclassified, unlimited reports:					
Destroy this report when no longer needed. Do not return it to the o	riginator.				
Reports marked with distribution statements B, C, D, or E:					
DESTRUCTION NOTICE: For classified documents, follow the pro- or DoD 5200.1-R, Information Security Program Regulation, Chapte	r IX. For unclassified, li				
will prevent disclosure of contents or reconstruction of the documen	L				
B. DIGITALLY PUBLISH					
JUSTIFICATION FOR PRINTING: See Center Regulation 25-30-1, paragraph					
<ol> <li>JUSTIFICATION FOR COLOR PRINTING: See Army Regulation 25-30, par</li> </ol>	agraph 5-10.				
11. MANDATORY LIBRARY REQUIREMENTS: The Library must be furnished	hree printed copies of li	mited distribution reports	š.		
2. SPECIAL INSTRUCTIONS:					
3. NAME OF APPROVING AUTHORITY 14. DATE	15. SIGNATURE	OF APPROVING AUTH	ORITY		
NOTE: Author is responsible for ensuring copyright permissions have beer	obtained for all technic	al content reproduced from	om other sources.		
RDC FORM 7, AUG 2016			Page 2 of		
-					

ERDC Form 7 is accessible through URL: <a href="https://intranet.usace.army.mil/erdc/pubs/Pages/Forms.aspx">https://intranet.usace.army.mil/erdc/pubs/Pages/Forms.aspx</a>

### D.2.2 ERDC Form 9

Figure D-4. ERDC Form 9.

US Army Engineer Research and Development Center  LIBRARY SCIENCE & KNOWLEDGE TRANSFER BRANCH  PUBLICATION APPROVAL FORM  For use of this form, see ERDC/ITL SR-04-1; the proponent agency is CEERD-IS-L.						
1. Publication Title:						
2. Publication Number:		3 ID	Number:			
4. Print (No. of copies):		3.101	vuiliber.			
Distribution List (for printed copi	ies): 6. Listserver No	tification List:				
	7. Labor	ratory Approval:				
a. Routing	b. Name	c. CEERD-	d. Initials	e. Date		
Editor			ID NA			
		•	TO NA			
Author / POC			TRAN			
			DOM			
			DOM:			
		•	PF KAK			
		•	THE NAME .			
Branch Chief		•	TN NO.			
Division Chief		•	DAN			
Technical Director		•	TN KNI			
Deputy Director			TO NO.			
Laboratory Director		•	THE NAME OF THE PARTY OF THE PA			
f. Placement on the Internet Requi	ires the Laboratory Director's Approva	Not Applicable	g. Laboratory Director's Initials			
		•	THE ADD			
Editor		•	THE NAME OF THE NA			
Visual Information Specialist		•	Th said			
			TO AND			
Chief, LSKT			TR NO.			
Visual Information Specialist			TR AND			
8. The following items apply (if checked):  a. This publication was not read by a P&TTB editor (and is not appropriate for unlimited Internet access).  b. Laboratory should furnish:  (1) Number of copies to be printed.  (2) Distribution list.  (3) Abstract (not to exceed 200 words).  (4) Key words.  c. The quality of photographs and illustrations in this report does not meet minimum standards and requires laboratory approval before the report can be published.						
d. Other comments:						

ERDC FORM 9, APR 2012

PREVIOUS EDITIONS ARE OBSOLETE.

# D.2.3 ERDC Form 92E

Figure D-5. ERDC Form 92E.

REQUEST FOR REVIEW	AND APPROVAL OF	nent Center, Hanover Site  TECHNICAL PUBLICATION roponent agency is CEERD-RV-ZB.	
SECTION I - PUBLICATION	ON	4. CHECK ALL THAT APPLY	
1. TITLE		Abstract	
PRIMARY AUTHOR: check if invited		Article, Refereed Journal	
3. CO-AUTHOR:		Article, Non-Refereed Journal	
SECTION II - DOCUMENT DE	TAILS	Book. Note in Remarks	
1. ORGANIZATION:		Chapter. Note in Remarks	
2. DATE PUBLICATION ENTERED REVIEW PROCESS:		Civil Works Subject	
3. DATE PUBLICATION REQUIRED: 4. DATE	E OF FUNCTION:	Conference Proceeding	
5. WILL FINAL PUBLISHED COPY GO TO CRREL LIBRAR	Y? X YES NO	Magazine Article	
6. PUBLICATION ID:			
7. ENTRY POC:		Military Subject	
SECTION III - AUTHENTICA	TION	Miscellaneous Paper	
1a. BRANCH CHIEF INITIAL REVIEW SIGNATURE	1b. DATE	Other	
2a. TECHNICAL REVIEWER 1 SIGNATURE	2b. DATE	Presentation	
		* ERDC Special Report	
3a. TECHNICAL REVIEWER 2 SIGNATURE	3b. DATE	* ERDC Technical Note	
4a. BRANCH CHIEF FINAL REVIEW SIGNATURE	4b. DATE	* ERDC Technical Report  No copyrighted material used	
5a. DIVISION CHIEF REVIEW SIGNATURE	5b. DATE	Copyrighted material used has been previously	
6a. EDITOR SIGNATURE (*if required, see block 4 above)	6b. DATE	cleared in accordance with AR 25-30 and a copy of the clearance is attached.	
7a. ERDC SECURITY SIGNATURE	7b. DATE	This publication does does not	
8a. ERDC PAO SIGNATURE	8b. DATE	contain controversial material or material related to litigation, if yes request legal review before proceeding.	
	CTION IV - DISTRIB		
FUND/CONTRACT NUMBER	2.DISTRIBUTION	3. NUMBER OF COPIES	
	llowing statement is on do gions Research and Engir	cument: Permission to publish was granted by Director, Cold neering Laboratory.	
6. REMARKS:			
7. LABORATORY DIRECTOR Approved Disa	pproved Approval doe	es not constitute approval to attend any conference or meeting.	
a. Printed Name	b. Date	c. Signature	
FRDC FORM 92-F .IUI 2012 PREV	/IOUS EDITIONS ARE OF		

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### D.2.4 Sample copyright permission request

Figures D-6 and D-7, respectively, show a sample copyright permission letter and a sample copyright permission form.

Figure D-6. Sample copyright permission request letter.



#### DEPARTMENT OF THE ARMY

ENGINEER RESEARCH AND DEVELOPMENT CENTER, CORPS OF ENGINEERS CONSTRUCTION ENGINEERING RESEARCH LABORATORY P.O. BOX 9005
CHAMPAIGN, IL. 61826-9005

REPLY TO

Information Management Office

15 July 2018

Donaldson Company, Inc. Hydraulic Applications Engineering PO Box 1299 Minneapolis, MN 55440-1200

Ms. Werner:

This office is preparing a manuscript for U.S. Army Corps of Engineers Technical Manual Engineer Manual (EM) 1110-2-1424, entitled *Lubricants and Hydraulic Fluids*, to be issued for the Department of Defense (DOD), and to be distributed principally to offices within the Army, the Corps of Engineers, DOD, and other government agencies.

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Thanks for your attention to this request. If you have any questions, feel free to contact me at (217) 373-4520 (voice) or (217) 373-7222 (FAX).

Sincerely,

William J. Wolfe
Writer-Editor
Information Science and Knowledge Management Branch
ATTN: CEERD-ISK
2902 Newmark Dr.
Champaign, IL 61826-9005
William.J.Wolfe@usace.army.mil

Figure D-7. Sample copyright permission form.

ATTN: CEERD-ISK/William J. Wolfe 217-373-7222 (FAX)

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Washington, DC 20314-5000

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Engineer Manual (EM) 1110-2-1424, Lubricants and Hydraulic Fluids

Source	Figure/Table Number	USACE Caption
Donaldson Technical Reference Article, January 2012, p 332,	Table 6-4	Water Prevention and Removal
publicly available through URL:		Techniques
https://www.donaldson.com/en/ih/support/000721.pdf		

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Corporate Title, Position, or Authority

Date

# **Appendix E: Publication Subscription Lists**

The ISKM branch maintains a number of publication subscription lists that provide email notification to subscribers when new ERDC publications are posted to the ERDC digital repository and distributed to DTIC. To sign up for one (or more) of the specialized notification lists, email ERDC.Publications@erdc.usace.army.mil.

## The ERDC publication subscription lists are

```
(ERDC Programs) Airfield Damage Repair Modernization Program (ADRMP)
(ERDC Programs) Aquatic Nuisance Research Program (ANSRP)
(ERDC Programs) Aquatic Plant Control Research Program (APCRP)
(ERDC Programs) Contingency Base Site Identification for the Tactical Environment (CB-SITE)
(ERDC Programs) Contingency Base Site Identification for the Tactical Environment (CB-SITE)
(ERDC Programs) Coastal Inlets Research Program (CIRP)
(ERDC Programs) DoD High Performance Computing Modernization Program (HPCMP)
(ERDC Programs) Dredging Operations and Environmental Research (DOER) Program
(ERDC Programs) Ecosystem Management and Restoration Research Program (EMRRP)
(ERDC Programs) Environmental Quality Technology R&D Program (EQTRDP)
(ERDC Programs) Ice Mass Balance Buoy Program (IMB)
(ERDC Programs) Louisiana Coastal Area Science and Technology (LCA S&T) Office
(ERDC Programs) National Shoreline Erosion Control Development and Demonstration
       Program (Section 227)
(ERDC Programs) Permafrost Research Program (PRP)
(ERDC Programs) Recreation Management Support Program (RMSP)
(ERDC Programs) Regional Sediment Management (RSM) Program
(ERDC Programs) Strategic Environmental Research and Development Program
       (SERDP) (includes ESTCP and ECMI*)
(ERDC Programs) System-Wide Water Resources Program (SWWRP)
(ERDC Programs) Water Operations Technical Support Program (WOTS) and Water
       Quality Research Program (WQRP)
(ERDC Programs) Wetlands Regulatory Assistance Program (WRAP)
(ERDC Programs) Wetlands Research Program (WRP)
(CERL) Ecological Processes (Installations)
(CERL) Energy
(CERL) Engineering Processes
(CERL) Environment
(CERL) Environmental Processes (Installations)
(CERL) Information Technology
(CERL) Infrastructure
(CERL) Land and Heritage Conservation (Installations)
(CERL) Materials and Structures
(CERL) Military/Topographic/Hydrologic Engineering
(CHL) Coastal Engineering
(CHL) Coastal Inlets Research Program Publications (CIRP)
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(CHL) Coastal Observation and Analysis

<sup>\*</sup> Environmental Security Technology Certification Program (ESTCP); Ecological Characterization and Monitoring Initiative (ECMI)

- (CHL) Coastal Processes
- (CHL) Estuarine Engineering
- (CHL) Field Data Collection and Analysis
- (CHL) General Coastal and Hydraulics Laboratory Publications
- (CHL) Harbors, Entrances, and Structures
- (CHL) Hydrologic Systems
- (CHL) Navigation
- (CHL) River Engineering
- (CRREL) Biogeochemical Sciences
- (CRREL) Environmental Sciences and Engineering—Characterization and Assessment
- (CRREL) Environmental Sciences and Engineering—Remediation Processes
- (CRREL) Extreme Environment Engineering
- (CRREL) Force Protection and Sustainment
- (CRREL) Hydrology and Hydraulics
- (CRREL) Installations
- (CRREL) Maneuver Support
- (CRREL) Military Terrestrial and Phenomenology
- (CRREL) Polar Sciences and Engineering
- (CRREL) Remote Sensing/Geographic Information Systems
- (CRREL) Seismic and Acoustic
- (CRREL) Signature Physics
- (CRREL) Snow and Ice in Temperate and Mountain Ranges
- (CRREL) Terrain Properties and Processes
- (CRREL) Water Resources
- (CRREL) Water Resources Geospatial Applications
- (EL) Analytical Chemistry
- (EL) Aquatic and Wetland Ecosystems
- (EL) Aquatic Nuisance Species Research Program (ANSRP)
- (EL) Aquatic Plant Control Research Program (APCRP)
- (EL) Chemistry, Cleanup, and Remediation
- (EL) Dredging and Dredged Material Management
- (EL) Ecosystem Management and Restoration Research Program (EMRRP) (and SAV)
- (EL) Environmental Chemistry
- (EL) Environmental Engineering
- (EL) Environmental Processes
- (EL) Environmental Risk Assessment, Sensing, and Monitoring
- (EL) Environmental Systems
- (EL) Fate and Effects
- (EL) General Environmental Laboratory Publications (and SAV)
- (EL) Geospatial Analysis and Mapping
- (EL) Hazardous/Toxic Waste Assessment and Cleanup
- (EL) Invasive and Threatened/Endangered Species
- (EL) Military Environmental Engineering and Sciences (includes Environmental Quality Technology R&D Program)
- (EL) Modeling and Ecosystem Restoration
- (EL) Molecular Ecology
- (EL) Recreation Management Support Program (RMSP)
- (EL) Stewardship/Recreation and Benefits Analysis
- (EL) Unexploded Ordnance Detection and Ordnance Management
- (EL) Water Operations Technical Support (WOTS) Program and Water Quality Research Program (WQRP)
- (EL) Wetlands and Coastal Ecology
- (EL) Water Quality and Contaminant Modeling
- (EL) Wetlands Regulatory Assistance Program (WRAP)

- (EL) Wetlands Research Program (WRP) (and SAV)
- (GRL) Data and Signature Analysis
- (GRL) Geo-Enabled Computing Environments
- (GRL) Geospatial Intelligence
- (GRL) Geospatial Temporal Information Structure and Framework
- (GRL) Human Geography
- (GRL) Imagery and GeoData Sciences
- (GSL) Airfields and Pavements
- (GSL) Concrete and Materials
- (GSL) Geotechnical Engineering and Geosciences
- (GSL) Impact and Explosion Effects
- (GSL) Infrastructure and Civil Works Reports and General GSL Reports
- (GSL) Military Engineering
- (GSL) Mobility Systems
- (GSL) Structural Engineering
- (GSL) Structural Mechanics
- (GSL) Survivability Engineering
- (ITL) Artificial Intelligence
- (ITL) CAD/BIM for DoD
- (ITL) Computer-Aided Structural Engineering (CASE) and General ITL Reports
- (ITL) Decision Science and Decision Support
- (ITL) General Topographic Engineering Center Publications
- (ITL) Graphical User Interfaces
- (ITL) High Performance Computing and Networking
- (ITL) Information Assurance
- (ITL) Information Science and Knowledge Management
- (ITL) Management Information Systems
- (ITL) Multi-scale Approach to Materials Design.

# REPORT DOCUMENTATION PAGE

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U.S. Army Engineer Research and Development Center (ERDC) researchers are required to document and publish the results of U.S. Department of Defense (DoD) funded research and development projects, both for purposes of public accountability and technology transfer. The ERDC publication series provides one avenue for researchers to create professional quality publications that meet the demands of sponsoring organizations and regulatory requirements. This updated author's guide, which supersedes ERDC/ITL SR-04-1, guides principal investigators or lead writers through all phases of document preparation.

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