

U.S. Department of Energy
Washington, D.C.

PAGE CHANGE

DOE 1321.1B Chg 1

3-14-85

SUBJECT: DEPARTMENTAL DIRECTIVES SYSTEM

1. PURPOSE. To transmit revised pages to DOE 1321.1B, DEPARTMENTAL DIRECTIVES SYSTEM, of 4-7-83.
2. CANCELLATION. DOE N 1321.120, EXCLUSION OF THE FEDERAL ENERGY REGULATORY COMMISSION FROM DEPARTMENTAL DIRECTIVES, of 7-3-84.
3. EXPLANATION OF CHANGE.
 - a. A review of the directives system indicates that there is no longer a need for two types of temporary directives. The Announcement system is eliminated and one-time or short-term directives will be published as Notices. There is no change to the system used for permanent or long-lasting directives and these will continue to be published as Orders.
 - b. As published in DOE N 1321.120, the Federal Energy Regulatory Commission is no longer included in the scope or distribution of Departmental directives and applicable procedures and references to this organization have been deleted from the system.
 - c. The deletions caused revisions to the pagination which are also reflected in this change.
4. IMPLEMENTATION. Elimination of Announcements from the system will be implemented 30 days from the date of this Page Change. After that date, Announcements will no longer be accepted for publication by the Directives Control Point, Information Management Systems, MA-213.1.
5. FILING INSTRUCTIONS.

a. <u>Remove Page</u>	<u>Dated</u>	<u>Insert Page</u>	<u>Dated</u>
1 thru 4	4-7-83	1 thru 4	3-14-85
i thru iv	4-7-83	i thru iv	3-14-85
I-1 & I-2	4-7-83	I-1 & I-2	3-14-85
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I-8	4-7-83	I-8	4-7-83

DISTRIBUTION:

All Departmental Elements

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Office of Organization
and Management Systems

3-14-85

II-1 thru II-3	4-7-83	II-1 thru II-3	3-14-85
II-4 & II-5	4-7-83	II-4 & II-5	4-7-83
II-6	4-7-83	II-6	3-14-85
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VI-2	4-7-83	VI-2	3-14-85
VII-1 & VII-2	4-7-83	VII-1 & VII-2	3-14-85
VIII-1 & VIII-2	4-7-83	VIII-1 & VIII-2	3-14-85
IX-1 & IX-2	4-7-83	IX-1 & IX-2	3-14-85
X-1	4-7-83	X-1	3-14-85
X-2	4-7-73	X-2	4-7-83

b. After filing the attached pages, this transmittal may be discarded.

BY ORDER OF THE SECRETARY OF ENERGY:



WILLIAM S. HEFFELFINGER
Director of Administration

U.S. Department of Energy
Washington, D.C.

ORDER

DOE 1321.1B

4-7-83

Change 1: 3-14-85

SUBJECT: DEPARTMENTAL DIRECTIVES SYSTEM

1. PURPOSE. To establish the directives system for the Department of Energy (DOE), which shall be used for publishing permanent and temporary directives issued by Headquarters, and addressed to Headquarters and/or field elements.

2. CANCELLATION. DOE 1321.1A, DEPARTMENTAL DIRECTIVES SYSTEM, of 6-20-80.

3. REFERENCES.

- a. DOE 0000.1A, STANDARD SUBJECT CLASSIFICATION SYSTEM, of 8-14-79, which outlines the system to be used in identifying and numbering DOE directives, forms, and files.
- b. 41 CFR Part 101-11, "Establishment and Management of Effective Directives Systems," of 11-13-80, which provides Federal Agencies with standards and guidelines for establishing and managing effective directives systems.
- c. Federal Property Management Regulation (FPMR) 11.3, Federal Stock Number 7610-00-935-4176, a Records Management Handbook published by the General Services Administration, on Government-wide policy and procedures for managing a directives system.
- d. "U.S. Government Printing Office (GPO) Style Manual," outlines the form and style to be used in printed Government documents, and is used for standardization, particularly for rules of grammar and punctuation.

4. OBJECTIVES. To facilitate Departmental administration and operations by providing the right employee with the right instructions; by producing instructions that are complete, easily understood, readily accessible, and revisable; and by developing and distributing instructions promptly and economically.

5. DEFINITIONS.

- a. Directives (Orders, Notices, and Page Changes) are written, permanent, and temporary issuances affecting more than one DOE organization, which:

- (1) Establish or change policies, organization, methods, standards, or procedures;

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- (2) Guide, instruct, and inform employees in their work;
 - (3) Require action or impose workload;
 - (4) Give information essential to the administration or operation of the Department; or
 - (5) Transmit other information to employees of the Department when use of DOE publications would not be practicable.
- b. Supplemental Directives are issued by field organizations to assign local responsibilities and authorities, and prescribe procedures unique to a particular organization (see page 3, paragraph 9).
- c. Internal Directives are issued by Headquarters organizations on matters applying only to the office of origin and may not be circulated outside the originating organization.
- d. "Handbooks" are used to publish information of value to the public, industry, and other non-DOE entities. They are not used for matters affecting the Department when the definition in paragraph 5a is applicable.
- e. Departmental Directives Control Point (DCP), Information Management Systems Branch, MA-213.1, in the Office of Organization and Management Systems, MA-21, is the Departmental control point for:
- (1) The review, coordination, analysis, processing, and publication of all DOE-wide policy and procedures; and
 - (2) All liaison between initiating and approving officials.
- f. Directives Points of Contact (DPC) are the central points of contact designated by Heads of Departmental Elements to:
- (1) Represent them on all directives matters;
 - (2) Fulfill the responsibilities outlined in this directive, and specifically in Chapters VI and IX; and
 - (3) Act as liaison between their organizations and the Departmental Directives Control Point.
- g. Office of Primary Interest (OPI) denotes the organization originating a directive.
6. CLASSIFIED INFORMATION. Directives are not appropriate for disseminating classified information since they are multiple-address issuances readily available to all employees. Procedures for classifying, processing, and controlling classified information will be outlined in a separate document.

Vertical line denotes change.

7. DETERMINATION. Questions arising as to whether a document should be issued as a directive, and if so, in which format, should be referred to the Departmental Directives Control Point, Information Management Systems Branch (MA-213.1), Office of Organization and Management Systems, telephone 252-4716.
8. DESIGNATIONS. Directives applicable to the Department as a whole shall bear the prefix DOE. Those directives applicable to Headquarters organizations shall be identified by HQ. The letter "N" is added to identify a Notice. Chapter VII outlines the system for identifying directives.
9. APPLICATION. DOE directives are sometimes designed for general rather than detailed internal application in two or more elements of the Department. Because of variances in organization, and distribution of personnel, it is not always feasible to prepare DOE directives in sufficient detail for direct internal application in the various field elements of the Department. Therefore, DOE directives may be the bases for preparing internal supplementary directives. Supplementary directives, printed in colors different from those of the DOE system, shall not repeat material covered in DOE-wide directives but shall be used to assign local responsibilities and authorities and prescribe additional procedures unique to a particular organization.
10. REQUESTS FOR COPIES OF DIRECTIVES. Requests for copies of directives by Headquarters organizations, after initial distribution, shall be forwarded to the Distribution Section, MA-234.23. Telephone requests will also be accepted at 252-9642 and 252-2226. Field organizations should order directives from established stockrooms.

BY ORDER OF THE SECRETARY OF ENERGY:



WILLIAM S. HEFFELFINGER
Director of Administration

Vertical line denotes change.



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M E M O

DOE 1321.1B CHG 1, DEPARTMENTAL DIRECTIVES SYSTEM, of 3-14-85, eliminates DOE Headquarters Announcements from the directives system. However, ORO will continue to issue local Announcements as usual.

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CHAPTER I

GENERAL

1. TYPES OF DIRECTIVES. Directives are either permanent (1 year or more) or temporary (less than 1 year). These are described below.
 - a. Orders are issuances used for permanent or long-lasting directives. A directive, regardless of the number of addressees, should be issued as a permanent one if it establishes a permanent organization, delegates authority, states a permanent policy, contains an approved procedure, prescribes a method, or establishes standards of operation. The format for Orders is illustrated by this directive. Related instructions are provided in Chapter II. Orders are printed on white paper.
 - b. Notices are the issuances used for one-time or short-term (1 year or less) instructions and information on any subject. Notices also may be used to immediately disseminate needed information until it can be incorporated in an Order. The format for Notices may be identical to the format of Orders, or may be block style if headings are not required, and double spaced if 1 paragraph, or less than 10 lines. A different form is used for the first page. Notices are printed on blue paper and have an expiration date of 1 month to 1 year. Related instructions are provided in Chapter II.
 - c. Page Changes are transmittals, printed on white paper, used to issue: (1) individual revised pages to replace existing pages; and/or (2) additional pages covering new, related material. Notices are not changed by these means. On those few occasions when Notices require change, they should be replaced by a new issuance. Chapter III outlines the format of a Page Change.
2. EXPIRATION DATES. Temporary policies and procedures, and the one-time dissemination of general information, such as appointments, have no continuing reference value. In accordance with FPMR 11.3, they shall remain in effect for a limited, fixed period of time and contain the date on which they are removed from the system. The "expiration date" on Notices is the mechanism used within the Department to reduce the volume of material retained in the directives system.

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3. CLEARANCE.

- a. Before any directive is finally approved and released, it shall be fully coordinated with all elements substantively concerned with the subject matter. The Departmental Directives Control Point is responsible for determining which elements have a substantive interest in proposed directives and securing their coordination. Clearances will be requested only from those organizations having real interest in the subject. Coordination for information or courtesy reasons is both costly and time consuming and will be avoided. Detailed procedures and requirements are outlined in Chapter V.
- b. Failure to respond when requested to coordinate on a directive delays staff action and creates unnecessary workloads. When a response has not been received, or an extension requested by the established deadline, the proposed directive will be processed with the assumption that there are no objections or comments.
- c. DOE F 1321.1, "Clearance Record," shall be used for all directives clearances and approvals. Directives requiring formal coordination with any element of the Department will be cleared with the heads of those organizations. Comments and/or rationales for nonconcurring are to be attached to the signed and dated form and returned to the analyst listed as contact point. Memorandums shall not be used. DOE F 1321.1 should be signed rather than initialed. Responsibilities of coordinating organizations are outlined in Chapter V.

4. RESPONSIBILITIES AND PROCEDURES. Figure I-1 is a flow chart outlining the various authorities, responsibilities, and procedures involved in processing a directive from its inception until publication. Originating organizations forward the proposed directive to MA-213.1 by a transmittal which includes as much information as necessary, including recommended coordinators, and attaches applicable background information.a. Typing.

- (1) Each directive (Order, Notice, Page Change), consisting of 1 paragraph, or less than 10 lines, should be double spaced. Triple space between paragraphs when double spacing is used. Assurance that the directive is in the prescribed format for publication on the appropriate forms is the responsibility of the initiating office. This office is designated the Office of Primary Interest.
- (2) The alphabetical designation and the first four digits of the directives number shall be filled in (see Chapter VII).
- (3) The word D R A F T and the date will be typed under the number block.
Example: D R A F T .
 1-28-82

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- f. The DPC assembles the final package for submission to the Departmental Directives Control Point. The package shall include:
 - (1) A transmittal Memorandum which contains a statement of nonconcurrences not resolved and/or comments not adopted, with the reasons for nonresolution and/or nonadoption.
 - (2) A completed summary Clearance Record (page V-5, Figure V-2) reflecting who concurred or nonconcurred, and who offered comments, with an indication as to whether comments were or were not adopted. The summary is typed on the original, signed Clearance Record. Typographical errors and noticeable corrections, such as those made with correction fluid, are not permissible on Clearance Records forwarded to the Secretary. Correction tape shall not be used on Clearance Records. Information typed on the summary Clearance Record shall be an exact duplication of what appears on the signed DOE F 1321.1.
 - (3) Directive in final form (original and three reproduced copies).
 - (4) Copies of all comments received.
 - (5) Any other background information necessary to complete the package.
 - g. The final package will be submitted to the approving official by the Departmental DCP (MA-213.1), through the Director of Organization and Management Systems (MA-21).
 - h. The Director of Administration, MA-2, will resolve any differences with the originating organization. If not resolved, an explanation of these differences will be included with the package referred to in paragraph 4f above.
 - i. After final approval by the appropriate official, the directive will be returned to the Departmental DCP where arrangements for printing and distribution will be made.
5. DIRECTIVES IDENTIFICATION. The alphabetical prefix and the first four digits of the directive's subject classification code are assigned by the OPI (see Chapter VII). The Departmental DCP inserts the date, final digit(s), and letter designation, if appropriate, on all directives after they have been approved. The date of the directive is the date of signature by the approving authority. Numbers and dates for directives internal to a single organization are inserted by the originating organization (see page I-7, paragraph 13).
 6. SIGNATURE BLOCK AND SEAL. The signature block and facsimile seal are added by the Departmental DCP after the approving official has signed the Clearance Record. (See page II-11, paragraph 14.)
 7. PRINTING OF DIRECTIVES. The Departmental DCP arranges for the printing of Departmental directives.

8. DISTRIBUTION OF DIRECTIVES. The OPI determines which organizations should receive directives and indicates this in the "Distribution" block of the directive. The recipient organizations determine the quantities of the directives they should receive. The Division of Printing and Graphics, MA-234, makes an annual request of Headquarters and field organizations to review requirements for directives, and maintains distribution lists. The Distribution Section makes distribution according to requirements established by originators and users of the directives. Chapter VIII contains detailed instructions for originators to identify the intended audience, and users to identify their requirements, for directives.
9. REPRINTING OF DIRECTIVES. The Distribution Section, MA-234.23, Office of Administrative Services, maintains stocks of DOE directives and makes distribution according to established requirements. The OPI determines whether or not directives should be reprinted. See Chapter VIII for responsibilities and procedures.
10. CHANGING AND CANCELING DIRECTIVES.
 - a. Notices contain an expiration date of 1 year or less. Orders are automatically reviewed after 2 years (see Chapter X). The Departmental DCP will give the initiating organization advance notification of the automatic review date so that appropriate action can be taken. The OPI will then either take steps to update and extend the provisions of such directives for a longer period of time, or cancel them by a Notice. Reviews, updates, cancellations, and extensions are the responsibility of the OPI.
 - b. Directives may be altered by issuing a complete replacement for the directive or, in the case of Orders, by issuing selected revised pages as substitutes for existing pages (see Chapter III). Completely revised directives are handled as new directives. The standards for issuing changes are, with respect to coordination and approval, the same as for new directives.
 - c. Directives also may be canceled by the issuance of another directive specifically identifying the directive to be canceled. This may be done either in a replacement directive or by a Notice issued specifically for the purpose of canceling the basic directive. Directives may only be canceled at the request of the OPI.
 - d. After publication, recipient organizations discovering an error, or believing there is need for a revision, should notify the OPI in writing and send a copy of the correspondence to the Departmental DCP, MA-213.1. Within 10 working days the Departmental DCP shall receive from the OPI either a Page Change, revised directive, cancellation Notice, or a copy of the OPI's response on why the change is inappropriate.
 - e. As for new directives, the typing of Page Changes, cancellation Notices, and revised directives is the responsibility of the OPI.

Vertical line denotes change.

11. CHECKLISTS. The Departmental DCP will issue a listing by alphabetical prefix, subject classification code, date, and subject of each directive in effect as of a specified date. This checklist will be issued in Notice format at least twice a year. More frequent publication will be made if warranted.

12. FORMS.

a. Forms required by this Order are:

- (1) DOE F 1321.1, "Clearance Record."
- (2) DOE F 1321.2, "Order."
- (3) DOE F 1321.3, "Notice."
- (4) DOE F 1321.5, "Page Change."
- (5) DOE F 1321.6, "Directive Typing Guide - Odd Page."
- (6) DOE F 1321.7, "Directive Typing Guide - Even Page."

b. All the above forms are available from established stockrooms or contractor-operated supply facilities located in DOE buildings.

13. DIRECTIVES INTERNAL TO A SINGLE ORGANIZATION.

a. General.

- (1) Letter prefixes (routing symbols) will be used by each organization to identify internal directives (see Chapter VII). Such directives shall not be designated DOE or HQ directives.
- (2) Care will be exercised to assure that subject matter covered applies only to the organization of origin. These directives may not be circulated outside the originating organization.
- (3) Such directives will be controlled by internal control points, rather than the Departmental DCP.
- (4) Internal control points will assign the directives identification, including sequential numbers. Numbers will be assigned in accordance with Chapter VII, except that letter prefixes will be the alphabetical portion of routing symbols. For example, the first internal Order concerning legal opinions issued by the General Counsel would be identified as GC 2010.1.

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- b. Approval. Internal directives may be approved by the Heads of Departmental Elements, and, to the extent delegated by these officials, heads of organizations reporting directly to them.
- c. Printing. Requests for printing are prepared by the originating organization. The internal directives control point performs the same functions for internal directives as those performed by the Departmental DCP in the case of DOE directives. Internal directives shall be printed in colors different from those used for the Departmentwide system.

CHAPTER II
DIRECTIVES FORMAT

1. PURPOSE. To describe the standards for preparing Orders and Notices.
2. REQUIRED FORMS. DOE F 1321.2 shall be used for the first page of each Order and DOE F 1321.3 shall be used for the first page of each Notice. DOE F 1321.6 and DOE F 1321.7 shall be used for all succeeding pages, including tables of content and attachments.
3. TYPE FACE. Type face similar to that used in this Order (letter gothic 12-pitch) should be used. Elite type shall not be used for directives.
4. COPIES. An original and three reproduced copies are required by the Departmental Directives Control Point, MA-213.1.
5. FORMAT. The format of this Order shall be used as a guide in preparing directives. Detailed instructions are contained in this chapter. As outlined on page I-2, paragraph 4a(1), and page II-3, paragraph 10, directives of 1 paragraph, or less than 10 lines, should be double spaced. Triple space between paragraphs when double spacing is used.
6. TYPING AND EDITORIAL RESPONSIBILITIES.
 - a. Originating organizations are responsible for typing directives.
 - b. Originating organizations are responsible for format, spelling, and punctuation.
 - c. MA-213.1, during the second DCP process shown in Figure I-1, shall review for format and consistency, and furnish comments to the Directives Point of Contact.
 - d. Originating organizations are responsible for making corrections.
7. TYPING REQUIREMENTS.
 - a. The rectangular box in the upper right corner of the required forms is reserved for the alphabetical prefix and the subject classification code. The DOE or HQ designation and first four numbers are filled in by the OPI. The addition of the letter "N" is required to identify Notices as outlined in Chapter VII. The word D R A F T and the date will be typed under the rectangular box. The date is changed for each succeeding draft revision. Example: D R A F T
1-28-82

Vertical line denotes change.

- b. The preparing organization completes the "Subject," "Distribution," and "Initiated by" elements of the forms. Following the word "Subject" insert a descriptive one-line title for the directive in all capital letters. Longer titles should be used only when essential for clarity. After "Initiated by" insert the organizational title of the office of primary functional interest in the substance of the directive. Do not use abbreviations. See Chapter VIII for essential instructions on completion of the "Distribution" element of the DOE directives forms.
 - c. The Departmental DCP completes the remainder of the forms after final approval by inserting the final digit(s) and letter designation, if appropriate, in the upper right corner, inserting the date of approval immediately below the rectangular box, typing in the signature block of the approving authority, and affixing a facsimile of the Departmental seal. The Departmental DCP also enters the expiration date of Notices immediately following the word "Expires." This date is 1 year or less from the date of the Notice.
8. MARGINS AND INDENTATIONS. The basic format changes from odd to even pages only to the extent necessary for reference and binding purposes. Since odd pages and even pages are printed back-to-back, the margins are adjusted for hole punching.
- a. Margins. Each directives form contains blue, nonreproducible vertical lines as guides for the right and left margins, and subparagraphing. Each form also contains a nonreproducible, horizontal broken line at the bottom as a signal to the typist that only two or three more lines may be typed on the page. On the first page of directives, line up the left and right margins with the beginning and ending of the preprinted lines just under the "Subject" line. Succeeding pages are typed on DOE F 1321.6 and DOE F 1321.7. Typists should be careful to keep the text within established margins. The left margins are 1 inch wide on odd and one-half inch wide on even pages. The right margins are the reverse--one-half inch on odd pages and 1 inch on even pages. The first page of a directive is typed on the appropriate DOE form as outlined on page II-1, paragraph 2.
 - b. Indentations. Paragraph and subparagraph indentation and blocking shall be as illustrated in this directive.
 - c. Text. Begin typing the text on the second line below the preprinted line just under the "Subject" line on the first page. On succeeding pages, start the text 1-1/2 inches from the top of the page. Leave at least 1-1/2 inches at the bottom of all pages, and 3-1/2 inches at the bottom of the last page of the basic directive so that the signature block may be typed in after the directive has been approved.
9. DIRECTIVES IDENTIFICATION, DATE, AND PAGE NUMBERS. The directive identification (alphabetical prefix and first four numbers) shall be typed by the

Vertical line denotes change.

OPI on all pages of DOE and HQ directives. The page number is always shown on the outside of the page for easy finding. Hence, on odd-numbered pages the page number is on the right margin, and on even-numbered pages on the left margin. The directives identification and date are switched from left margin to right margin to accommodate this change. The sequential identification numbers and date of signature are typed by the Departmental DCP.

10. STANDARD PARAGRAPHS. Brief Notices and Orders consisting of 1 paragraph, or less than 10 lines, shall be typed in double-spaced, block style format. Standard paragraphs for Orders, and Notices consisting of more than one page, in the sequence they are to be used, are as follows:

a. Purpose. Each directive consisting of more than 1 paragraph, or more than 10 lines, shall have as its first paragraph a "PURPOSE" paragraph which briefly describes the subject matter and effect of the directive.

b. Cancellation. In this paragraph identify, by number, subject (in all capital letters), and date, all existing directives canceled by the issuance of the directive. When used, this paragraph shall always be the second paragraph. The format of the cancellation is as follows:
DOE 0000.0, CANCELED ORDER, of 3-13-82.

c. Scope.

(1) The scope of a directive is based on applicability of the directive to organizational elements and not the scope of the function(s) identified within the directive. Normally, the scope of a directive can be determined by the text and identifying alphabetical designation. Generally, DOE-prefixed directives apply throughout the Department, and directives applicable only to Headquarters organizations are identified by HQ. Some examples of exceptions, which require "SCOPE" paragraphs, are as follows:

(a) In instances where a directive is not applicable to all Departmental Elements, or is applicable to a specific audience, a statement is included to identify those organizations covered in the scope of the directive.

Example:

"The provisions of this Order apply to the Assistant Secretary for Nuclear Energy, the Assistant Secretary for Defense Programs, and all Operations Offices."

Vertical line denotes change.

- (b) In instances where the directive is applicable to contractors such applicability shall be identified in the scope of the directive. When the directive is applicable to operating and onsite service contractors, the directive will be implemented by field organizations responsible for administering the contract. When needed for other contracts, or specific categories of contracts, contract articles shall be developed, coordinated with the Chief of Procurement Policy, MA-421.1, and included in the contract in order to implement the directive. Example:

"The provisions of this Order apply to all Departmental Elements and contractors performing work for the Department as provided by law and/or contract and as implemented by the appropriate contracting officer."

- (2) The "SCOPE" paragraph shall be the second paragraph of a directive unless there is a cancellation. In this event, the "SCOPE" paragraph shall be the third paragraph.
- d. Effective Date. Unless otherwise specified, directives are effective on approval. When a directive is effective on a date other than the approval date, a special paragraph headed "EFFECTIVE DATE" will be inserted.
- e. References. Always make each directive as complete as possible. Restrict references to items needed by the user to understand the contents of a directive. Make sure any reference cited is readily available to the reader, and do not reference drafts, or planned, or temporary directives. If a directive makes reference to material not available to the user, the initiator should arrange for distribution of the referenced material and include availability information. Generally, references should be listed by identification letters and/or numbers, the subject or title, and the date of publication. Briefly explain what each reference does. Example: DOE 0000.0, REFERENCED MATERIAL, of 3-3-82, which outlines the Department's policy. . . .
- f. Definitions. Include definitions only when needed to identify new or nonstandard terminology, or when beneficial to the users of the directive.
- g. General Content.
- (1) Delegations of Authority. Delegations of authority shall be published in the Department of Energy Organization Manual, and as appropriate, in the "Federal Register." Such delegations may then be referred to in individual directives.

- (2) Dates. When writing dates within a directive they should be in numerical format; e.g., 10-13-82.
- (3) Subjects. Capitalize the subjects of directives in lieu of using quotation marks.
- (4) Cross-Referencing. When referencing another portion of the same directive not on the same, preceding, or following page, the page and paragraph number, without spaces or punctuation, should be used as follows:
 - (a) Page 4, paragraph 4a(3); or
 - (b) Page II-3, paragraph 6c(1)(b).
- (5) Titles.
 - (a) When first writing an organizational title it should be written with the routing symbol following it; e.g., Director of Organization and Management Systems (MA-21); Inspector General (IG-1). Routing symbols may be enclosed by parentheses or commas.
 - (b) The correct format for titles is contained on page VIII-1 of DOE 1325.1A. Generally, titles relate to functional responsibilities rather than organizational levels which are denoted by routing symbols.

<u>Examples:</u>	<u>Correct:</u>	Chief of Systems Software (MA-251.1)
	<u>Incorrect:</u>	Chief, Systems Software Branch (MA-251.1)
	<u>Correct:</u>	Director of Printing and Graphics (MA-234)
	<u>Incorrect:</u>	Director, Division of Printing and Graphics (MA-234)
- (6) Capitalization.
 - (a) Capitalize "Department" and "Departmental" when referring to DOE.
 - (b) Capitalize "Administration," "Agency," or "Department" when referring to a Federal unit, whether in the full name or used alone as a short form of a specific proper name."
 - (c) Capitalize "DOE Elements" and "Departmental Elements."

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- (d) Capitalize "Heads of Field Organizations" and "Heads of Departmental Elements."
 - (e) Capitalize "Government," "Federal," and "Federal Government" when used as a part of proper names, as proper names, or as proper adjectives.
 - (f) Capitalize the titles of forms such as Order, Notice, Page Change, and Clearance Record.
 - (g) For the purpose of emphasis, apply the rule of common nouns used alone as a well-known short form of a specific proper noun, and capitalize chapters, attachments, and figures when number designations are included; e.g., Chapter III, Attachment 1. This exception shall be limited to directives.
- (7) Abbreviations. For reading ease use only well-known abbreviations or acronyms. If it is desirable to use an abbreviation or acronym, spell out the word or phrase followed by its abbreviation or acronym in parentheses. Example: Department of Energy (DOE). After this first definition of its meaning, the abbreviation or acronym may be used without further explanation. The word or phrase may also be used. Abbreviations and acronyms shall not be used in the "Subject," "Distribution," or "Initiated by" portions of the directive. Whenever possible, the use of an abbreviation or acronym in a heading should be avoided.
- (8) Underlines (Underscores). Underlining is used for emphasis and loses effectiveness when overused. Underlines shall be used for all headings and then restricted to words for emphasis. Underlines are unbroken and not used under ending punctuation.
- (9) Numerals. The "GPO Style Manual" should be referenced for the rules on use of numerals. In accordance with the "GPO Style Manual," generally numbers from one to nine are written out, and figures are used for larger numbers, with the exception of the first word of the sentence. Further exceptions are:
- (a) When numbers are used in a group, any one of which is 10 or more, the sentence will be regarded as a unit for

Vertical line denotes change.

CHAPTER III

PAGE CHANGE

1. PURPOSE. To give the standards and instructions for the use of a Page Change.
2. REQUIRED FORM. Use DOE F 1321.5, "Page Change," to transmit new or revised pages.
3. CRITERIA. Use revised pages to update an Order when this is the most economical way of making an Order current. Generally, a complete revision (reprint and reissue) of an Order is best when an Order is four pages or less in length and any single page must be reprinted. Individually changed pages issued as substitutes for existing pages are usually best on longer Orders when half or less of the pages must be reprinted to update the Order. Also, Page Changes are used to transmit additional pages to existing Orders. Page Changes are not used for Notices. (See page I-1, paragraph 1c.)
4. PREPARATION OF NEW AND CHANGED PAGES.
 - a. Retype existing pages exactly as they were printed and distributed, except for the specific text that is to be changed. Pages printed on the reverse of the changed page must be included.
 - b. Using a fine point, black ink pen, mark revised text for quick identification by drawing a vertical line in the left margin, starting with the first line and continuing to the bottom of the last line of the text being revised. This may mean two or three separate vertical lines on a single page in some cases. Vertical lines should be carefully marked since they also indicate deletions when extended between typed lines or paragraphs. At the bottom of each changed page type: "Vertical line denotes change." (See page III-8 for an example.)
 - c. When revised text adds to the total length of the Order, it may be necessary to add additional pages. To do this, prepare the additional page following an even numbered page. Number the additional page with numbers and letters; e.g., 4a, 4b, 4c. The use of such designations shall be minimal. The pages shall be renumbered the first time the directive is completely revised.
 - d. Do not type a date on pages containing a change. The date will be inserted by the Departmental DCP after the Page Change has been approved for publication. The date at the top of a page denotes the last time the text was changed. It is not used to reflect a change in the placement of text caused by an addition on a previous page. Unchanged pages printed on the reverse of changed pages contain the original date of approval.

Vertical line denotes change.

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When the first page of an Order is changed it will contain the original approval date, as well as the date of the change. Example:

10-13-81
Change 1: 1-28-82

5. PREPARATION OF PAGE CHANGE.

- a. Each Page Change carries the same alphabetical and numerical identification, as well as the same subject, as the basic Order.
- b. Each Page Change which forwards new or revised pages has, as a minimum, three standard paragraphs("PURPOSE," "EXPLANATION OF CHANGE," and "FILING INSTRUCTIONS.") In addition, "SCOPE," "EFFECTIVE DATE," and "IMPLEMENTATION" paragraphs may be used if appropriate. The content of these paragraphs, in the order they should appear, is explained below:
 - (1) The "PURPOSE" paragraph is used to identify the action taken; e.g., "To transmit a revised Attachment 2 to DOE 0000.1A, STANDARD SUBJECT CLASSIFICATION SYSTEM, of 8-14-79."
 - (2) The "SCOPE" paragraph is defined on II-3, paragraph 10c, and should only be used if the scope of the change is different from the scope of the published directive. In this instance, a revision to the first page of the Order will be required.
 - (3) The "EFFECTIVE DATE" paragraph is used to identify a specific date when the changes transmitted become effective. This paragraph is only used when the date is different from that of the Page Change.
 - (4) The "EXPLANATION OF CHANGE" paragraph is used to explain the specific policy and/or procedural changes contained in the changed pages in a series of subparagraphs. Whenever possible, each item should be cross-referenced to the relevant paragraph of text.
 - (5) The "IMPLEMENTATION" paragraph is used when it is necessary to give short-term instructions on putting changed policies and procedures into effect. When used, this paragraph follows the "EXPLANATION OF CHANGE" paragraph.
 - (6) The "FILING INSTRUCTIONS" paragraph identifies each replaced page by number and date, and instructs clerical personnel to remove them, and identifies by number and date the substitute and additional pages attached to the Page Change transmittal. Pages that are changed, as well as those pages printed on the reverse, must be identified in the filing instructions. These instructions also indicate the disposition of the transmittal. An example of a Page Change is shown in the attachments to this chapter.

Information typed on the summary Clearance Record shall be an exact duplication of what appears on the signed copy.

Figure V-2
Summary Clearance Record

Vertical line denotes change.

List by organization. Do not consolidate all comments on a particular part of a directive.

A copy of the summary is forwarded to the commenting organization at the same time it is transmitted to the Departmental Directives Control Point.

Summary shall include ALL "Essential" comments that are not adopted.

Clearly delineate the rationale for nonadoption. For example, do not use "unacceptable" without including the rationale for why it is unacceptable.

SUMMARY OF UNADOPTED COMMENTS

ORGANIZATION	COMMENT	DISCUSSION
Assistant Secretary for -----	We concur in the application of a common system but have the following "Essential" comments:	
→	. Page 3, paragraph 4a(2). ----- -----copy comment verbatim-----	It was not intended that ----- ----- ----- ----- -----
→	. Page 5, paragraph 6c. ----- ----- -----2nd comment on same paragraph-----	Now page 2, paragraph 3a. ----- ----- ----- ----- -----
→	. Page 8, paragraph 9b(4). ----- ----- -----	Incorrect for the following reasons: (1) ----- -----; (2) ----- -----; and (3) ----- -----
→	. Page 8, paragraph 10a. ----- -----, and ----- -----	This part of the comment was adopted. ← This part of the comment is not recommended for adoption because ----- ----- -----

List page and paragraph identification and copy comment verbatim.

May be included to clarify action taken.

If page and/or paragraph designations change, note this at the beginning of the discussion.

Figure V-3
Summary Format

CHAPTER VI

DIRECTIVES POINTS OF CONTACT

1. PURPOSE. To establish points of contact in each coordinating organization for the purpose of more effective and efficient use of the Department of Energy directives system.
2. GENERAL. Any directives system, to operate smoothly and efficiently, requires a definite assignment of responsibilities. To effect this, each organization issuing or using directives under the system shall have a central point of contact, or control point, with specific responsibilities. Centralizing the control of directives being coordinated, and providing a centralized, decisionmaking, information point of contact in each organization, assures consistent, effective, and efficient use and guidance.
3. BACKGROUND. The Departmental Directives Control Point, in the Information Management Systems Branch, MA-213.1, develops, installs, and manages the directives system. This organization is the central point for the issuance of all policies and procedures, and is the Departmental liaison between initiating and approving officials. General responsibilities are outlined in Figure I-1, page I-3.
4. RESPONSIBILITIES.
 - a. Heads of Departmental Elements are responsible for:
 - (1) Designating a Directives Point of Contact;
 - (2) Publicizing the designation within the affected organization;
 - (3) Assuring that internal staff is aware of the responsibilities of the Directives Point of Contact;
 - (4) Encouraging staff to communicate with, and be responsive to, the Directives Point of Contact; and
 - (5) Notifying the Departmental Directives Control Point of the name, title, routing symbol, address (including room number and building), and telephone number of the designee, and any changes to the designation.
 - b. Directives Points of Contact are responsible for:
 - (1) Control of coordination to assure that deadline dates for response are met, or that extensions are requested prior to the deadline date.

- (2) Assuring that one consolidated response is submitted by their organization, and when required, holding meetings and reconciling internal divergent viewpoints.
- (3) Attending meetings held in an effort to resolve nonconcurrences submitted by their organization, and assuring that either they have the authority to make a decision on the resolution of the issue, or arranging for an official with that authority to be in attendance.
- (4) Providing procedural advice to staff members developing or maintaining directives, which requires an indepth knowledge of the system, the procedures, and the format.
- (5) Reviewing all proposed directives, prior to forwarding to the Departmental Directives Control Point, to assure that there are no procedural, formatting, spelling, or punctuation errors; to assure that the transmittal correspondence includes all necessary information; and to assure that all background information and the appropriate number of copies are included. DPC's should also assure that changes to existing directives which are being revised are highlighted on an additional copy.
- (6) Assuring that proposed directives are returned to the Departmental Directives Control Point for action before the deadlines discussed on page I-4, paragraph 4e.
- (7) Assuring that staff members are aware of new policies and procedures as they are published.
- (8) Acting as liaison between their organization and the Departmental Directives Control Point.
- (9) Requesting assistance from the Directives and Correspondence Management Team, MA-213.12, when required.

5. DESIGNATING ORGANIZATIONS.

- a. Coordinating Officials, responsible for designating Directives Point of Contact, are:
 - (1) Secretarial Officers;
 - (2) DOE Staff Officers; and
 - (3) Heads of field organizations reporting directly to the immediate Office of the Secretary.

Vertical line denotes change.

CHAPTER VII

DIRECTIVES NUMBERING

1. GENERAL DESCRIPTION OF NUMBERING SYSTEM. The identification of each Order and Notice is made up of the following components (see paragraph 2 for examples):
 - a. An alphabetical prefix, either "DOE" or "HQ" (for the Department of Energy and DOE Headquarters, respectively). All directives which apply only to Headquarters are designated as HQ directives; those that apply beyond Headquarters are designated DOE. Directives which apply within a single organization of DOE are prefixed by the routing symbol assigned to the originating organization.
 - b. An additional alphabetical prefix to denote Notices. One space will be left between DOE or HQ and the "N" to denote Notice.
 - c. A four digit subject classification code (e.g., 1100, 1630, 5100), which designates the subject area of the directive. (See DOE 0000.1A, STANDARD SUBJECT CLASSIFICATION SYSTEM, of 8-14-79.)
 - d. A sequential number to distinguish Orders, Notices, and Page Changes from each other within each subject and directive series. Within each series, Orders and Notices are numbered in a straight Arabic numeral sequence. Page Changes are numbered the same as the Order they change, except the abbreviation "Chg" and the appropriate change number are added. Page Changes are not used for Notices (see page I-1, paragraph 1c).
 - e. In addition, an Order which is completely revised (a complete replacement for an existing Order) retains its original number suffixed with a capital letter ("A," "B,") to distinguish it from previous versions of the Order. For example, the first complete revision of DOE 1000.1 is designated DOE 1000.1A, the second complete revision is designated DOE 1000.1B.

2. EXAMPLES OF DIRECTIVES NUMBERING.

a. Orders and Notices.

- | | |
|----------------|--|
| (1) DOE 1320.1 | The first Departmental Order on the subject of paperwork management. |
| (2) DOE 1320.2 | The second Order on the same subject. |

Vertical line denotes change.

- | | |
|----------------------------|---|
| (3) HQ N 1320.1 | The first Notice on paperwork management applicable only within DOE Headquarters. |
| (4) DOE 1320.1A | The first revision to DOE 1320.1. |
| b. <u>Page Changes.</u> | |
| (1) DOE 1320.1 Chg 1 | The first Page Change issued to DOE 1320.1. |
| (2) DOE 1320.1 Chg 2 | The second Page Change issued to DOE 1320.1. |
| (3) HQ 1320.1 Chg 1 | The first Page Change issued to HQ 1320.1. |
| (4) HQ 1320.1A Chg 1 | The first Page Change issued after the first complete revision of HQ 1320.1. |
| c. <u>Internal Orders.</u> | |
| (1) GC 1320.1 | The first internal Order issued by the General Counsel on the subject of paperwork management. (Internal directives are not circulated outside the originating organization.) |
| (2) GC 1320.2 | The second internal General Counsel Order on the same subject. |

Vertical line denotes change.

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CHAPTER VIIIDISTRIBUTION

1. DISTRIBUTION REPRESENTATIVES. Each Departmental Element is responsible for designating a distribution representative and establishing a receiving point for Departmental directives. Changes of either the distribution representative or the receiving point shall be promptly transmitted by Memorandum to the Division of Printing and Graphics (MA-234).
2. RESPONSIBILITIES.
 - a. Distribution representatives are responsible for:
 - (1) Consolidating total DOE directives requirements for the organization they represent;
 - (2) Keeping MA-234 currently advised of their organization's total directives requirements; and
 - (3) Performing liaison with the Division of Printing and Graphics.
 - b. The organization that initiates a directive is responsible for designating the intended audience. When this determination is made, the distribution is indicated on the first page of the proposed directive. Distribution is then made based on the intended audience and the receiver's requirements (paragraph 2a).
3. DISTRIBUTION DESIGNATIONS. After the initiator determines the distribution for a proposed directive, recipients are indicated in the distribution space at the bottom of the first page of all directives. Examples of designations used to identify the intended distribution for DOE directives follows:
 - a. All Departmental Elements. Includes all organizations in Headquarters and the field, except the Federal Energy Regulatory Commission.
 - b. All Headquarters Elements. Includes all organizations in Headquarters, except the Federal Energy Regulatory Commission.
 - c. All Field Elements. Includes all organizations in the field, except the Federal Energy Regulatory Commission.
 - d. All Departmental Personnel. Used when every employee of the Department receives a copy of the directive. This distribution is usually reserved for Notices and shall only be used when the contents of the directive must be read by every employee.

Vertical line denotes change.

- e. All Headquarters Personnel. Used when all Headquarters employees receive a copy of the directive. This distribution is usually reserved for Notices and shall only be used when the contents of the directive must be read by every Headquarters employee.
- f. Other Designations. May be needed on occasion to accommodate specific "Scope" paragraphs. In all instances, the contents of the "Scope" paragraph should be used for guidance in designating distribution; e.g., "All Operations Offices."

4. REQUESTS FOR COPIES OF DIRECTIVES.

- a. Regular Distribution. A survey form, available from the Distribution Section (MA-234.23), shall be used to obtain regular distribution of directives. The form is structured to allow for automatic data entry, and distribution representatives shall assure the completeness, legibility, and accuracy of the information submitted. The distribution representative is responsible for notifying MA-234.23 of any changes in requirements; e.g., copy requirements and address changes. The survey should be updated regularly, and as a minimum, at least once a year.
- b. Copies. Requests for copies of directives by Headquarters organizations, after initial distribution, should be forwarded to MA-234.23, by Routing and Transmittal Slip or Memorandum. Telephone requests will also be accepted at 252-9642 or 252-2226. Field organizations should obtain directives from established stockrooms.

5. MAINTENANCE OF DISTRIBUTION LISTS AND STOCKS.

- a. The Division of Printing and Graphics maintains directives distribution lists.
- b. The Distribution Section determines stock quantities, and advises the initiator when directives stocks are low. The initiator determines when a directive should be reprinted.
- c. As guidance, a frequently used directive, for which no changes are anticipated within 90 days, should be reprinted.
- d. When reprinting is indicated, the OPI prepares a printing request and forwards it to the Departmental DCP, along with a copy of the notification received from the Distribution Section.
- e. The Departmental DCP attaches the master copy of the directive, and forwards the request to MA-234 for final action.

Vertical line denotes change.

CHAPTER IX
FILING PROCEDURES

1. BINDERS.

a. Background.

- (1) Vinyl looseleaf, three-ring binders, with plastic pockets are available to Headquarters organizations for filing Orders and Notices. Cover and spine inserts, which allow for changes to the numbers as the system grows, are also available. An example of a cover is shown in Attachment IX-1.
- (2) Standard 5-cut tabs containing the primary 4-digit numeral and the subject matter are available to separate Orders within the binders. An example of the tabs is shown in Attachment IX-2.

b. Availability.

- (1) Headquarters Organizations. Covers and tabs are available in supply outlets. Binders are distributed on an "as needed" basis. Requesting organizations may obtain binders by submitting a DOE Form AD-H34, "Requisition for Supplies, Equipment, or Service," to the Property and Supply Branch, MA-235.1.
- (2) Field Organizations. Covers and tabs may be requested from MA-235.1. The expense of purchasing, packaging, and shipping notebooks precludes supplying field organizations directly. Field organizations planning to use the covers and binders should purchase the binders from local sources.

c. Covers.

- (1) Headquarters Organizations. Covers for Headquarters organizations consist of one each for DOE Orders, HQ Orders, and DOE/HQ Notices.
- (2) Field Organizations. Covers for field organizations consist of one each for DOE Orders and DOE Notices.

d. Tabs.

- (1) The preprinted classification tabs shall be used to separate Orders, by number, within the binders. Notices are temporary or short-term directives and do not require tabs for reference purposes.

Vertical line denotes change.

(2) Headquarters organizations should use standard 5-cut tabs, available in supply outlets, to separate DOE and HQ issuances within the Notice binders.

- e. Restrictions. Binders, covers, and preprinted tabs shall be reserved for the DOE Directives System, and are not available for internal directives, or for other uses.

2. RESPONSIBILITIES.

- a. User organizations are responsible for designating employees to maintain sets of directives.
- b. Directives Points of Contact in each organization are responsible for assuring that designated employees are aware of the proper procedures for maintaining directives.
- c. Organizations shall assure that a complete set of directives is maintained for approximately every 10 employees.
- d. Organizations are responsible for determining and requesting the correct quantities of directives for circulating and filing (see Chapter VIII - Distribution).

3. PROCEDURES. Designated employees shall:

- a. Insert new directives in the appropriate binders. Orders should be filed behind the tab bearing the same major numerical designation.
- b. Assure that canceled directives are removed from the binders. (Note: cancellations are always reflected in the second paragraph of a directive.)
- c. Conduct periodic reviews of Notices (every 4 to 6 weeks) and remove and discard expired directives.
- d. Note, on the upper right corner of directives that have been extended, the number and date of the extending document and change the expiration date to reflect the extension. Example: Extended by DOE N XXXX.X, of 11-5-XX.
- e. Post changes to published documents as outlined on the transmittal (Page Change) sheets. Reflect the posting of changes on the upper right corner of the first page of the changed directive, under the date, by adding the number, and publication date. It is not necessary to include the date the change was posted. Example:

1-28-80 (Date of Order)
Change 1: 6-13-81
Change 2: 2-14-82

Vertical line denotes change.

CHAPTER X

TWO-YEAR REVIEW SYSTEM

1. PURPOSE. To keep directives current by establishing and maintaining a system to regularly require originators to certify whether to continue, revise, and/or cancel published Orders.
2. BACKGROUND.
 - a. In a final rule, published on 11-13-80, the National Archives and Records Service, General Services Administration, expanded the regulations dealing with the standards and guidelines for establishing and managing directives systems. Within this rule is a requirement for originators to review biennially each directive for need and currentness, and for originators to certify whether to continue, revise, or cancel each directive.
 - b. The 2-year review system has been part of the Departmental directives system since its initial publication. Procedures and responsibilities are outlined below.
- | 3. PROCEDURES. The system applies only to Orders. Notices are temporary directives containing expiration dates and are not subject to 2-year reviews.
 - a. The Departmental Directives Control Point, MA-213.1, notifies the Office of Primary Interest (OPI), through the Directives Point of Contact, that a published Order is scheduled for review.
 - b. Within 10 working days of the date of the notification, the OPI certifies one of the following actions to MA-213.1:
 - (1) The Order is to be updated;
 - (2) The Order should be canceled; or
 - (3) The Order should be extended without change.
 - c. If the Order is to be updated, the OPI shall provide a complete revision or Page Change to MA-213.1 within 30 working days.
 - d. If the Order is to be canceled, the OPI shall provide a cancellation Notice to MA-213.1 within 30 working days, along with the reason why the Order is no longer needed.

Vertical line denotes change.

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- e. If the Order is to be extended without change, the justification for such action shall be provided MA-213.1.

4. RESPONSIBILITIES.

- a. The Departmental Directives Control Point is responsible for:
- (1) Managing the 2-year review system; and
 - (2) Publishing all revisions, cancellations, and extensions in the directives checklist.
- b. Directives Points of Contact in each organization are responsible for:
- (1) Assuring that all deadline dates are met;
 - (2) Reviewing all certifications and assuring they are correct;
 - (3) Assuring that there are no procedural, formatting, spelling, or punctuation errors in proposed revisions or cancellation Notices, and that the correct number of copies are provided; and
 - (4) Assuring that the transmittal correspondence includes all necessary information.

5. DEADLINE DATES. It is the responsibility of receiving organizations to meet the deadline dates outlined in paragraph 3, or to request a limited extension from the Departmental DCP. Since the requirement for biennial review has been imposed externally, extensions should be requested from MA-213.1 only in exceptional circumstances. If certification and subsequent action are not received by the deadline dates the matter shall be referred to the Director of Administration, who will request appropriate action from the affected Secretarial Officer or DOE Staff Officer.