

DIRECTIVES SYSTEM MANUAL

1. PURPOSE. This Manual provides detailed requirements to supplement DOE O 251.1, DIRECTIVES SYSTEM, of 10-16-95, which establishes requirements for the development, coordination, and sunset review of DOE directives. This Manual does not apply to the development and issuance of DOE Regulations and Technical Standards. This Manual also does not apply to classified directives.
2. SUMMARY. This Manual is composed of six chapters that provide detailed requirements for implementing the Department of Energy directives system. Chapter I describes the general directives structure and numbering system. Chapters II and III address the development, coordination, and issue resolution process for directives. Chapters IV through VI discuss supplemental directives, a process for identifying unauthorized directives, and the sunset review process.
3. REFERENCE. DOE O 251.1, DIRECTIVES SYSTEM, of 10-16-95.
4. CONTACT. Questions concerning this Manual should be addressed to the Office of Organization and Management, (202) 586-4716.

BY ORDER OF THE SECRETARY OF ENERGY:

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CHAPTER I

GENERAL DIRECTIVES STRUCTURE

1. PROCESS OVERVIEW. See Attachment I-1 for an overview of the directives development process.
2. BACKGROUND. The Directives System is the means by which DOE policies and requirements are developed and communicated within the Department. Directives include Policy Statements, Orders, Notices, Manuals, DOE Regulations, Technical Standards, and Guides. Unless otherwise indicated, this Manual deals only with Policy Statements, Orders, Notices, Manuals and Guides.
3. DESCRIPTION: DIRECTIVES. The relationship of documents within the Directives System is illustrated in Attachment I-2. Policy Statements are the highest level directive and are issued by the Secretary. The next tier of directives consists of Orders, Notices, Manuals, and DOE Regulations. The third tier, DOE Guides, provides information concerning acceptable, non-mandatory means of fulfilling requirements. The last tier, DOE Technical Standards, which are published as part of the Technical Standards Program, describes established practices and procedures that may be used.
 - a. Directives Establishing Requirements.
 - (1) Policy Statements describe the philosophies and fundamental values of the Department. Other documents in the Directives System flow from Policy Statements and must be consistent with them. Policy Statements apply equally to DOE Elements and contractors. Because Policy Statements are general in nature, they often will require implementation through the more specific requirements established in DOE Regulations, Orders, Notices, and Manuals.
 - (2) DOE Regulations establish enforceable requirements pursuant to the Department's authority under law and in accordance with the Administrative Procedure Act. Their development is managed by the Office of General Counsel.
 - (3) Orders establish management objectives and requirements and assign responsibilities. Orders are reviewed after 2 years to determine if they are adequate and current. (See Chapter VI.)
 - (4) Notices are like Orders, but are issued for immediate or short-term use. Unless extended through the issuance of an additional Notice or incorporated into an Order, they expire no later than 1 year from issuance.

- (5) Manuals establish requirements that supplement DOE Orders and provide more instruction about how the provisions of the Order shall be carried out. Because a Manual supplements a particular Order, it must be developed and issued concurrently with the Order and may not introduce requirements that do not directly relate to the Order requirements.
- b. Directives Providing Guidance.
- (1) Guides provide non-mandatory, supplemental information about acceptable methods for implementing requirements contained in DOE Regulations and Orders. Guides may identify acceptable ways to implement requirements by referencing appropriate Technical Standards, but they may not impose additional requirements. Although Guides should be considered in implementing requirements, compliance may be demonstrated by other actions or means.
 - (2) Technical Standards are non-mandatory criteria managed under the Technical Standards Program to provide guidance to contractors and DOE personnel on acceptable methods for meeting requirements.
4. DIRECTIVES MANAGEMENT DOCUMENTS. Directives Management Documents (DMDs) solicit from Departmental Elements and M&O contractors information that helps to determine the need for a new Directive or the revision of an existing one. They are required for all proposed new Orders and Manuals and for significant revisions. DOE M 251.1-1, Chapter II, Attachment II-1 provides the DMD format.
5. DIRECTIVES NUMBERING SYSTEM.
- a. Numbering Directives. All Policy Statements, Orders, Notices, Manuals and Guides will have a letter identifying the type of document, a 3-digit number identifying the subject matter category, and a suffix showing the sequence within that subject matter area and the revision level. The following examples show how the numbering system would work for various documents.
 - (1) Policy Statements. In DOE P 141.1, GUIDANCE ON IMPLEMENTATION OF DEPARTMENT PUBLIC PARTICIPATION POLICY, "P" stands for Policy, "141" is the subject matter category (Public Relations), and ".1" indicates the first policy document in this category. When the document is revised, the first revision will be numbered DOE P 141.1A.

(2) Orders. In DOE O 151.1, COMPREHENSIVE EMERGENCY MANAGEMENT SYSTEM, "O" stands for Order, "151" is the subject matter category (Emergency Management and Planning - General), and ".1" indicates the first Order in this category. Subsequent revisions will be ".1A," ".1B," etc.

(3) Notices. In DOE N 251.1, CANCELLATION OF DIRECTIVES, "N" stands for Notice, "251" is the subject matter category (Directives System), ".1" indicates that this Notice supplements DOE O 251.1, DIRECTIVES SYSTEM, and "-1" indicates that this is the first Notice supplementing that particular Order. Subsequent extensions of Notices will be "-1A", "-1B", etc.

(4) Manuals. In DOE M 251.1-1, DIRECTIVES SYSTEM MANUAL, "M" stands for Manual, "251" is the subject matter category (Directives System), ".1" indicates that this Manual supplements DOE O 251.1, DIRECTIVES SYSTEM, and "-1" indicates that this is the first Manual supplementing that particular Order. If the Order is revised to be DOE O 251.1A, there is no change in the number of the Manual. If the Manual is revised, its number would become DOE M 251.1-1A.

(5) Guides. Guides are numbered the same as Manuals, but the initial letter designator is "G." To accommodate circumstances in which DOE Regulations, rather than Orders, contain the requirements, the primary 3-digit code would be used. For example, a Quality Assurance Guide might be labeled DOE G 414.1-1 since it is based on a DOE Regulation rather than an Order.

- b. Subject Matter Categories. Departmental directives are numbered as described below. The Directives System Manager will assign a number for each individual directive. Attachment I-3 provides a crosswalk of old (current) Directives numbers to the new Directives numbering system.

100 LEADERSHIP/MANAGEMENT PLANNING

110 Organization and Structure. Includes directives on authorities, functions, and internal relationships.

120 Planning. Includes processes for determining how best to do work, including strategic planning, institutional and program planning, implementation planning, and economic analysis and forecasting.

- 120 General
- 121 Strategic Planning
- 122 Institutional Planning
- 123 Economic Forecasting
- 124 Implementation Planning

130 Budget. Includes the financial budgeting process. Staffing budgets are covered under the Human Resources category (300).

- 130 General
- 131 Field Budget Process
- 132 Headquarters Consolidation Process
- 133 Office of Management and Budget Process
- 134 Congressional Budget Review
- 135 Budget Execution
- 136 Allotments and Reprogramming

140 External Relationships. Includes overall process for public relations, Congressional relations, and intergovernmental affairs and agreements.

- 140 General
- 141 Public Relations
- 142 International Relations
- 143 Congressional and Domestic Intergovernmental Affairs

150 Emergency Management and Planning. Includes succession planning and planning for operational emergencies.

- 150 General
- 151 Public Affairs in Emergencies
- 152 Governmental Emergencies
- 153 Operational, Energy, and External Emergencies

200 INFORMATION AND ANALYSIS

210 Performance Measures and Analyses. Includes establishment of contractor milestones and incentives, performance indicators, and tracking/trending.

220 Assessments. Includes all types of audits, oversight, appraisal programs, and accident investigations.

- 220 General
- 221 Inspector General Relations
- 222 General Accounting Office Assessments
- 223 Special Program Assessments
- 224 Audits and Appraisals
- 225 Accident Investigation

230 Reporting. Includes all cross-cutting reporting programs such as occurrence reporting. Reporting requirements associated with a single subject matter, such as Budget, are covered in that category.

- 230 General
- 231 Safety and Health Reporting Requirements
- 232 Occurrence Reporting
- 233 Interagency Reporting Requirements
- 240 Records Management. Includes forms management, records disposition, and records management.
 - 240 General
 - 241 Records Management
 - 242 Forms Management
- 250 Directives System. Includes all aspects of how DOE implements its directives system and provides guidance both internally and to contractors.
 - 250 General
 - 251 Directives System
 - 252 DOE Technical Standards
 - 253 Procedures
- 300 HUMAN RESOURCES
 - 310 Human Resources Planning and Management. Includes staffing planning and budgeting, equal employment opportunity, and affirmative action programs.
 - 310 General
 - 311 Equal Employment Opportunity
 - 312 Staff Budgeting
 - 320 Federal Employment. Includes employee recruitment, selection, placement, pay-setting, and reductions-in-force for various types of employment.
 - 320 General
 - 321 Employment
 - 322 Pay Administration and Hours of Duty
 - 323 Promotion
 - 324 Priority Placement
 - 325 Position Classification
 - 326 Employee Suitability and Position Sensitivity
 - 327 Employment Reductions in Senior Executive Service
 - 330 Federal Employee Performance and Recognition. Includes performance appraisals, awards, disciplinary actions, and removals for poor performance or cause.
 - 330 General
 - 331 Performance Appraisal
 - 332 Incentive Awards
 - 333 Work Force Discipline

- 340 Federal Employee Well-Being and Satisfaction. Includes insurance and retirement, employee counseling and medical programs, drug testing, employee participation campaigns, labor relations, grievances, and appeals.
- 340 General
 - 341 Leave Administration
 - 342 Grievances
 - 343 Substance Abuse and Employee Assistance
 - 344 Parking
- 350 Contractor Human Resource Programs. Covers management of contractor personnel policies and programs in all areas including employment, performance and recognition, and well-being and satisfaction.
- 350 General
 - 351 Pension and Insurance Programs
 - 352 Equal Employment Opportunity
 - 353 Reductions in Employment
 - 354 Federal Labor Standards
 - 355 Reports
- 360 Federal and Contractor Employee Education and Training. Includes education and training activities for DOE and contractor employees.
- 360 General
 - 361 Federal and Contractor Employee Training
- 400 **WORK PROCESSES**
- 410 Management. Includes major management systems such as project management, configuration management, program management, quality assurance and total quality management, and commitment tracking.
- 410 General
 - 411 Assignments and Responsibilities
 - 412 Management Systems
 - 413 Program Management
 - 414 Quality Management
- 420 Facility Authorization. Includes safety analyses, technical safety requirements, unreviewed safety questions, and other issues related to the authorization basis of nuclear and non-nuclear facilities.

- 420 General
- 421 Safety Analyses
- 422 Technical Safety Requirements
- 423 Unreviewed Safety Questions
- 430 Life-Cycle Facility Operations. Includes design/engineering, construction, maintenance, operations, waste management, decontamination and decommissioning (D&D), and environmental restorations (ER).
 - 430 General
 - 431 Design/Engineering
 - 432 Construction
 - 433 Maintenance
 - 434 Operations
 - 435 Waste Management/D&D/ER
- 440 Worker Protection. Includes Office of Safety and Health Administration (OSHA), aviation safety, radiation protection for workers, and other safety programs that relate to the protection of workers and others entering DOE sites.
 - 440 General
 - 441 Radiation Protection
 - 442 OSHA-type Issues
- 450 Protection of the Public and Environment. Includes programs for ensuring public health and safety and protection of the environment.
 - 450 General
 - 451 National Environmental Protection Act
- 460 Packaging and Transportation. Includes transportation of hazardous and non-hazardous goods and materials, except for household goods.
 - 460 General
 - 461 Hazardous Material Packaging and Transportation
- 470 Safeguards and Security. Includes physical and personnel security, information security, security classification, and nuclear materials control and accountability.
 - 470 General
 - 471 Information Security
 - 472 Personnel Security
 - 473 Physical Security
 - 474 Materials Control and Accountability

480 Work for Others and Technology Transfer. Includes work performed for other Government agencies and private industry, and programs for transferring technology to the private sector.

- 480 General
- 481 Technology Transfer
- 482 Work for Others

500 BUSINESS AND SUPPORT SERVICES

510 Legal. Includes Freedom of Information Act (FOIA) and Privacy Act directives, and any directives related to legal and patent/copyright processes.

- 510 General
- 511 Hearings and Appeals
- 512 Data Integrity Board
- 513 FOIA/Privacy Act
- 514 Participation in Political Activities

520 Finances. Includes special methods of financing programs.

- 520 General
- 521 Financial Incentives Program
- 522 Pricing of DOE Materials and Services

530 Accounting. Includes all types of accounting except accounting for special nuclear materials.

- 530 General
- 531 Transfer of Contracts Between Departmental Elements
- 532 Interagency Sharing of Costs
- 533 Employee Indebtedness
- 534 Accounting
- 535 Time and Attendance Reporting

540 Procurement and Grants Management. Includes contractual arrangements for procurement of goods and services, and for grants to organizations. It does not include procurement of utilities, laundry, and other similar commercial services, nor does it include procurement of automated information systems and telecommunications equipment.

- 540 General
- 541 Reporting Systems
- 542 Contracting Officials and Conflicts of Interest

- 543 Competitive Requirements in Contracting
- 544 Indirect Cost Rate Responsibilities
- 545 Priorities and Allocations Program
- 546 Funds-Out Interagency Agreements
- 547 Civil Rights Compliance in Federally Assisted Programs

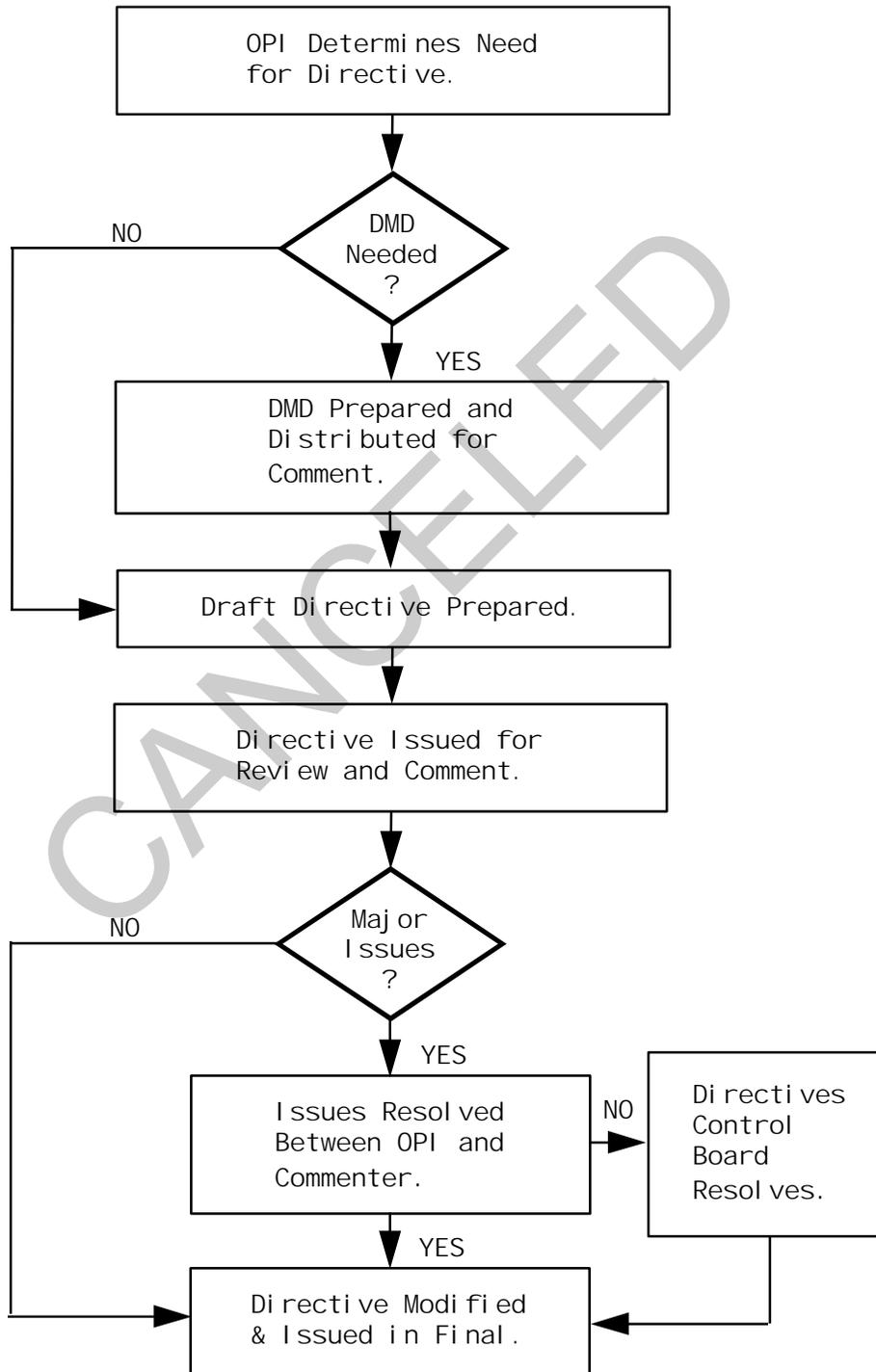
- 550 Travel and Transportation. Includes policies and reimbursement procedures for local travel, temporary duty travel, permanent change of station, and transportation of household goods. Also includes motor pool management.
 - 550 General
 - 551 Travel Policy and Procedures
 - 552 Foreign Travel Authorization
 - 553 Travel Charge Card Program

- 560 Telecommunications and Data Systems. Includes procurement management of telecommunications, telephone services, automated information systems, software, maintenance, and services.
 - 560 General
 - 561 Telecommunications
 - 562 Management of Computer Systems
 - 563 Information Technology
 - 564 Telephone Systems
 - 565 Unclassified Computer Security Program

- 570 Administrative Services. Includes mail, filing, and office space management and reproduction, printing, library, and general office services.
 - 570 General
 - 571 Scientific and Technical Information Management
 - 572 Audiovisual and Exhibits Management
 - 573 Mail Management
 - 574 Library Services

- 580 Property Management. Includes personal and real property management, acquisition, and disposition.
 - 580 General

FLOW DIAGRAM OF DIRECTIVES PROCESS



HIERARCHY OF DIRECTIVES

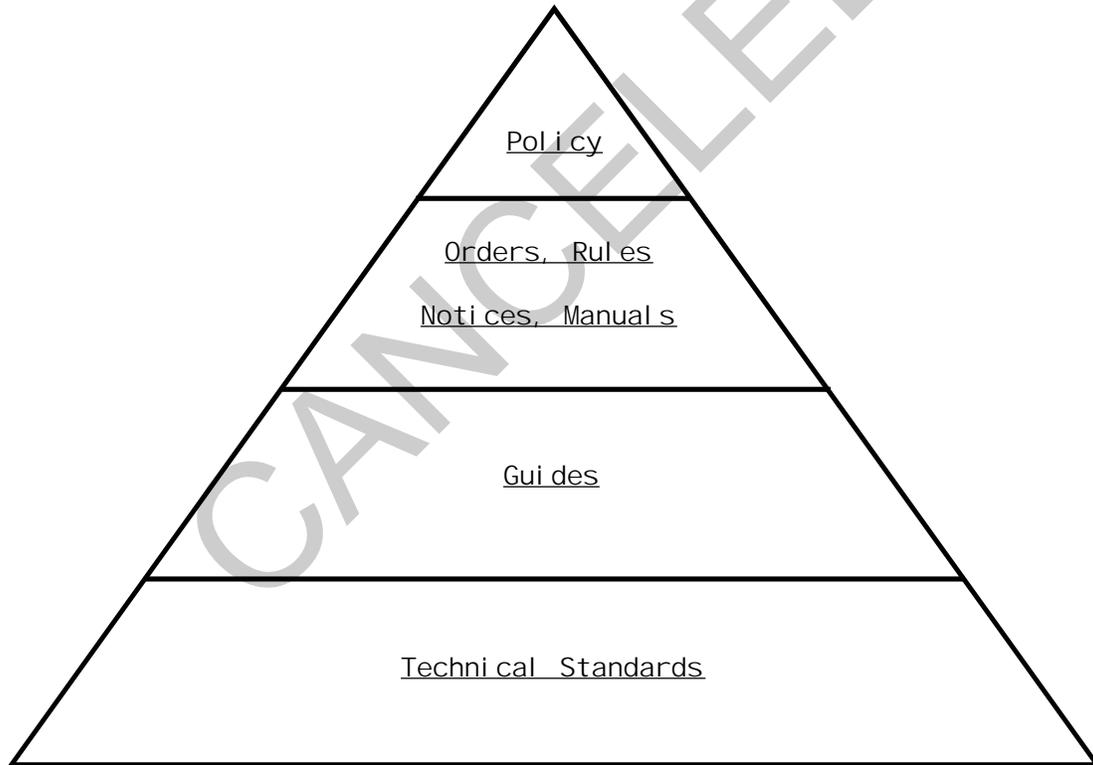


Figure 1

**CROSSWALK OF OLD DIRECTIVES NUMBERS TO
NEW DIRECTIVES NUMBERING SYSTEM**

100 LEADERSHIP/MANAGEMENT PLANNING

110 Organization and Structure. Directives on authorities, functions, and internal relationships.

| | | |
|---------|------------|--|
| P 110.1 | SEN-19A-92 | Department of Energy Executive Committee |
| P 110.2 | SEN-36-92 | Senior Nuclear Managers' Group |
| O 111.1 | 1100.6A | Departmental Organization Control System |
| O 112.1 | 1100.4 | Organization and Functions - Board of Contract Appeals |
| | 2030.3 (2) | Federalism Guidelines |

120 Planning. Processes for determining how best to do work, including strategic planning, institutional and program planning, and economic analysis and forecasting. This category does not include performance measurement, goal setting, and development of objectives.

| | | |
|---------|-------------|---|
| P 121.1 | SEN-25A-91 | Strategic Planning Initiative |
| | 5000.1B (2) | Institutional Planning of Multiprogram Laboratories |
| O 123.1 | 5900.1A | Energy Information Collection, Analysis and Dissemination |

130 Budget. Financial budgeting process. Staffing budgets are covered under the Human Resources area.

| | | |
|---------|--------------|--|
| O 130.1 | | Budget Formulation |
| | 5100.3 (1) | Field Budget Process |
| | 5100.4 (1) | Internal Review Budget Process |
| | 5100.5 (1) | Office of Management and Budget - Budget Process |
| | 5100.6A (1) | Congressional Budget Review |
| O 135.1 | | Budget Execution - Funds Distribution and Control |
| | 5100.11A (1) | Budget Execution |
| | 5100.12A (1) | Budget Execution - Department of Energy Base Table |
| | 5100.13A (1) | Budget Execution - Rescissions and Deferrals |
| | 5100.14A (1) | Allotment and Approved Funding Program Process |
| | 5160.1B (1) | Reprogramming, Restructuring, and Appropriation Transfer Procedures |
| O 135.2 | 5500.6B | Shutdown of Departmental Operations Upon Failure by Congress to Enact Appropriations |

140 External Relationships. Processes for public relations, Congressional relations, intergovernmental affairs and agreements.

| | | |
|---------|-----------|--|
| P 141.1 | P 1210.1 | Guidance on Implementation of the Department's Public Participation Policy |
| P 142.1 | SEN-17-90 | Coordination of Global Climate Change Activities |
| O 142.1 | 1240.2B | Unclassified Visits and Assignments by Foreign Nationals |
| O 142.2 | 1270.2B | Safeguards Agreement with the IAEA |
| O 143.1 | 1220.1A | Congressional and Intergovernmental Affairs |
| O 143.2 | 1230.2 | American Indian Tribal Government Policy |

Notes: (1) Indicates that the directive has been cancelled and is being replaced by a new or recently consolidated directive. The new directive appears directly above the cancelled directive. Where a group of directives have been cancelled, the new directive above those directives is the consolidated directive.

(2) Indicates that the directive has been cancelled and has not been replaced by another directive.

(3) Indicates that the directive will be phased out and cancelled upon meeting implementing conditions of DOE O 430.1, Life Cycle Asset Management.

O 143.3 2100.12A Payment for Special Burdens and in Lieu of Taxes

150 Emergency Management and Planning. Succession planning and planning for operational emergencies.

O 151.1 Comprehensive Emergency Management System
5500.1B (1) Emergency Management System
5500.2B (1) Emergency Categories, Classes and Notification and Reporting Requirements
5500.3A (1) Planning and Preparedness for Operational Emergencies
5500.4A (1) Public Affairs Policy and Planning Requirements for Emergencies
5500.5A (1) Public Affairs Policy and Planning Requirements for a Fuel Supply Disruption Emergency
5500.7B (1) Emergency Operating Records Protection Program
5500.8A (1) Energy Emergency Planning and Management
5500.9A (1) Emergency Planning, Preparedness, and Response to Continuity of Government Emergencies
5500.10 (1) Emergency Readiness Assurance Program
O 151.2 5500.11 Power Marketing Administration Emergency Management Program
O 154.1 5530.1A Accident Response Group
O 154.2 5530.2 Nuclear Emergency Search Team
O 154.3 5530.3 Radiological Assistance Program
O 154.4 5530.4 Aerial Measuring System
O 154.5 5530.5 Federal Radiological Monitoring and Assessment Center

200 INFORMATION AND ANALYSIS

210 Performance Measures and Analysis. Contractor milestones and incentives, performance indicators, and tracking/trending.

O 210.1 Performance Indicators Program
5480.26 (1) Trending and Analysis of Operations Information Using Performance Indicators

220 Assessments. Audits, oversight, appraisal programs, and accident investigations.

O 221.1 1000.3B Internal Control Systems
O 221.2 2030.4B Reporting Fraud, Waste, and Abuse to the Office of Inspector General
N 221.2-1 N 2030.7C Reporting Fraud, Waste, and Abuse
O 221. 32320.1C Cooperation with the Office of Inspector General
O 221. 42320.2B Establishment of Departmental Position on Inspector General Reports
O 222.1 2340.1C Coordination of General Accounting Office Activities
O 223.1 2321.1B Auditing of Programs and Operations
O 224.1 2200.13 Oversight of Integrated Contractor Financial Management
O 224.2 2300.1B Audit Resolution and Followup
O 224.3 5482.1B Environment, Safety, and Health Appraisal Program
O 225.1 Accident Investigation
5480.17 (2) Site Safety Representatives

Notes: (1) Indicates that the directive has been cancelled and is being replaced by a new or recently consolidated directive. The new directive appears directly above the cancelled directive. Where a group of directives have been cancelled, the new directive above those directives is the consolidated directive.

(2) Indicates that the directive has been cancelled and has not been replaced by another directive.

(3) Indicates that the directive will be phased out and cancelled upon meeting implementing conditions of DOE O 430.1, Life Cycle Asset Management.

5000.2B (2) Multiprogram Laboratory Appraisals

230 Reporting. Cross-cutting reporting programs such as occurrence reporting. Reporting requirements tied to a single area such as budgeting are covered under that category.

| | | |
|-----------|-------------|---|
| O 231.1 | | Safety and Health Reporting Requirements |
| O 231.2 | 5484.1 | Environmental Protection, Safety and Health Protection Information Reporting Requirements |
| O 232.1 | | Occurrence Reporting |
| M 232.1-1 | | Occurrence Reporting and Processing of Operation Information |
| | 5000.3B (1) | Occurrence Reporting and Processing of Operation Information |
| | 1323.2B (2) | Interagency Reporting Requirements |

240 Information Management. Scientific and technical information management, audiovisual and exhibits management, library services, records management, and forms management.

| | | |
|---------|-------------|--|
| O 241.1 | 1430.1D | Scientific and Technical Information Management |
| O 241.2 | 1340.1B | Management of Public Communications Publications and Scientific, Technical, and Engineering Publications |
| O 242.1 | 1350.1 | Audiovisual and Exhibits Management |
| O 244.1 | 1324.5B | Records Management Program |
| | 1430.4A (2) | Library Services |
| | 1322.2C (2) | Forms Management |

250 Standardization. How DOE issues policy, rules, directives, other requirements, technical standards, and formal guidance both internally and to contractors; and how exemptions are processed.

| | | |
|-----------|----------|---------------------------------|
| P 251.2 | SEN-0-89 | Secretary of Energy Notices |
| O 251.1 | | DOE Directives System |
| M 251.1-1 | | DOE Directives Manual |
| O 252.1 | 1300.2A | DOE Technical Standards Program |

300 HUMAN RESOURCES

310 Human Resources Planning and Management. Staffing planning and budgeting, EEO, and affirmative action programs.

| | | |
|---------|-------------|---|
| O 311.1 | | Equal Employment Opportunity Program |
| | 1130.4 (1) | Federal Women's Program Advisory Councils |
| | 1130.5 (1) | Hispanic Employment Program Advisory Councils |
| | 1600.1A (1) | Federal Women's Program |
| | 1600.2B (1) | Secretary's Commitment to Equal Opportunity |
| | 1600.3 (1) | Policy on Sexual Harassment |
| | 1600.4 (1) | Hispanic Employment Program |
| | 1600.5 (1) | System for Processing Complaints of Discrimination |
| | 1600.6A (1) | Civil Rights Compliance in Federally Assisted Programs |
| | 3300.2A (1) | Affirmative Action Program for Handicapped Persons |
| | 3330.1A (1) | Federal Equal Opportunity Recruitment Program |
| | 3220.2A (1) | Equal Opportunity in Operating and Onsite Service Contractor Facilities |

Notes: (1) Indicates that the directive has been cancelled and is being replaced by a new or recently consolidated directive. The new directive appears directly above the cancelled directive. Where a group of directives have been cancelled, the new directive above those directives is the consolidated directive.

(2) Indicates that the directive has been cancelled and has not been replaced by another directive.

(3) Indicates that the directive will be phased out and cancelled upon meeting implementing conditions of DOE O 430.1, Life Cycle Asset Management.

P 311.2 SEN-38-92 Policy on the Prevention and Eradication of Sexual Harassment
in the Workplace

320 Federal Employment. Employee recruitment, selection, placement, pay-setting, and
reductions-in-force for various types of employment.

O 321.1 3300.3 Employment
O 321.2 3304.1A Employment of Experts and Consultants
O 321.3 3305.1 Presidential, Supergrade, and Schedule C Positions
G 321.3-1 G 3305.1 Senior Executive Service Personnel Guide
O 322.1 3550.1A Pay Administration and Hours of Duty
O 323.1 3335.1C Merit Promotion
O 323.2 3410.2A Upward Mobility Program
O 324.1 3330.2 Priority Placement and Consideration
O 325.1 3511.1A Position Classification
O 326.1 3731.1 Suitability, Position Sensitivity Designations, and Related
Personnel Matters
N 326.1 Annual Confidential Financial Disclosure Report (SF 450)
N 326.2N 3735.25 Annual Submission of Public Financial Disclosure Report (SF
278)
O 327.1 3350.1 Furlough in the Senior Executive Service
O 327.2 3351.2 Reduction in Force in the Senior Executive Service

330 Federal Employee Performance and Recognition. Performance appraisals, awards,
disciplinary actions, and removals for poor performance or cause.

O 331.1 3430.3A Departmental Performance Appraisal System
O 332.1 3450.1B Incentive Awards
O 333.1 3750.1 Work Force Discipline

340 Federal Employee Well-Being and Satisfaction. Insurance and retirement, employee
counseling and medical programs, drug testing, employee participation campaigns, labor
relations, grievances, and appeals.

G 340.1-1 G 3610.1 Department of Energy Labor-Management Relations
O 341.1 3630.1B Leave Administration
O 341.2 3630.2 Voluntary Leave Transfer Program
O 342.1 3771.1 Grievance Policy and Procedures
O 343.1 3792.1A Employee Assistance Program
O 343.2 3792.3 Drug-Free Federal Workplace Testing Implementation Program
O 344.1 3900.1B Parking

350 Contractor Human Resource Programs. Contractor human resources policies and related
personnel programs such as employment, compensation and benefits, labor standards,
diversity/Equal Employment Opportunities, employee relations, and employee assistance
programs.

O 350.1 3220.1A Management of Contractor Personnel Policies and Programs
N 350.1 N 3131.1 Access to Skills, Knowledge, and Abilities of Retired Scientists
and Engineers for the Nuclear Weapons Program
O 352.1 3830.1 Policies and Procedures for Pension Programs Under Operating
and Onsite Service Contracts

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consolidated directive. The new directive appears directly above the cancelled directive. Where a group of directives have
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Life Cycle Asset Management.

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| O 352.2 | 3890.1A | Contractor Insurance and Other Health Benefit Programs |
| O 353.1 | 3220.6A | Federal Labor Standards |
| O 355.1 | 3309.1A | Reductions in Contractor Employment |
| O 358.1 | 3220.4A | Contractor Personnel and Industrial Relations Reports |

360 Employee Education and Training. Education and training activities for DOE and contractor employees.

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| O 360.1 | | Training |
| | 3410.1B (1) | Training |
| O 362.1 | 5480.18B | Nuclear Facility Training Accreditation Program |
| O 362.2 | 5480.20A | Personnel Selection, Qualification, Training and Staffing Requirements at DOE Reactor and Non-Reactor Nuclear Facilities. |

400 WORK PROCESSES

410 Management. Major management systems such as project management, configuration management, program management, quality assurance and total quality management, and commitment tracking.

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| P 410.1 | | Developing Nuclear Safety Requirements |
| M 411.1 | N 1321.141 | Manual of Functions, Assignments, and Responsibilities for Nuclear Safety |
| O 412.1 | 5700.2D | Cost Estimating, Analysis, and Standardization |
| O 412.2 | 5700.7C | Work Authorization System |
| P 413.1 | SEN-14-89 | Clean Coal Technology Demonstration Program Implementation Arrangements |
| O 413.1 | 5000.4A | Laboratory Directed Research and Development |
| O 414.1 | 5600.1 | Management of DOE Weapon Program and Weapon Complex |
| O 414.2 | 5610.13 | Joint Department of Energy/Department of Defense Nuclear Weapon System Safety, Security, and Control Activities |
| O 415.1 | 5660.1B | Management of Nuclear Materials |
| O 416.1 | 5700.6C | Quality Assurance |

420 Facility Authorization. Safety analysis, technical safety requirements, unreviewed safety questions, and other issues related to the authorization basis of nuclear and non-nuclear facilities.

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| P 420.1 | SEN-35-91 | Nuclear Safety Policy |
| O 420.1 | | Facility Safety |
| | 5480.28 (1) | Natural Phenomena Hazards Mitigation |
| | 5480.7A (1) | Fire Protection |
| | 6430.1A (1) | General Design Criteria (Explosive Safety Design Division 13 Only) |
| | 5480.24 (1) | Criticality Safety |
| O 420.2 | 5480.25 | Safety of Accelerator Facilities |
| O 421.1 | 5610.10 | Nuclear Explosive and Weapon Safety Program |
| O 421.2 | 5610.11 | Nuclear Explosive Safety |
| O 421.3 | 5480.23 | Nuclear Safety Analysis Reports |
| O 423.1 | 5480.22 | Technical Safety Requirements |
| O 424.1 | 5480.21 | Unreviewed Safety Questions |

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O 425.1 5480.31 (1) Startup and Restart of Nuclear Facilities
Startup and Restart of Nuclear Facilities

430 Life Cycle Facility Operations. Design/engineering, construction, maintenance, operations, waste management, decontamination and decommissioning, and environmental restoration.

O430.1 Life Cycle Asset Management
1332.1A (3) Uniform Reporting System
4010.1A (3) Value Engineering
4300.1C (3) Real Property Management
4320.1B (3) Site Development Planning
4320.2A (3) Capital Asset Management Process
4330.4B (3) Maintenance Management Program
4330.5 (3) Surplus Facility Transfer
4540.1C (3) Utility Acquisition and Management
4700.1 (3) Project Management System
4700.3 (3) General Plant Projects
4700.4 (3) Project Manager Certification
5700.2D (3) Cost Estimating, Analysis and Standardization
6430.1A (3) General Design Criteria
O 430.2 4330.2D In House Energy Management Program
O 431.1 5480.30 Nuclear Reactor Safety Design Criteria
P 435.1 SEN-37-92 Waste Minimization Crosscut Plan Implementation
O 435.1 5820.2A Waste Management

440 Worker Protection. OSHA, aviation safety, radiation protection for workers, and other safety programs that relate to the protection of workers and others entering DOE sites.

P 440.1 1300.3 Policy on the Protection of Human Subjects
O 440.1 Worker Protection
5480.7A (1) Fire Protection
5480.8A (1) Contractor Occupational Medical Program
5480.9A (1) Construction Project Safety and Health Management
5480.10 (1) Contractor Industrial Hygiene Program
5480.16A (1) Firearms Safety
5483.1A (1) Occupational Safety and Health Program for DOE Contractor
Employees at Government-Owned Contractor- Operated
Facilities
O 440.2 Aviation
5480.13A (1) Aviation Safety
O 440.3 5480.4 Environmental Protection, Safety and Health Protection
Standards
O 441.1 5400.5 Radiation Protection for the Public and the Environment
N 441.1 Radiological Protection for DOE Activities
N 5400.13 (1) Sealed Radioactive Source Accountability (Extension of DOE N
5400.9)
N 5480.11 (1) Extension of Radiological Control Manual, Revision 1
5480.11 (1) Radiation Protection for Occupational Workers
5480.15 (1) DOE Laboratory Accreditation Program for Personnel Dosimetry
P 442.1 SEN-39-92 DOE Occupational Safety and Health Incentives Program
O 442.1 3790.1B Federal Employee Occupational Safety and Health Program (Chapter VIII Only)

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- O 442.2 3791.2A Federal Employee Motor Vehicle Safety Program
- O 442.3 5480.29 Employee Concerns Management System

450 Protection of the Public and Environment. Programs for ensuring public health and safety and protection of the environment.

- P 450.1 Environment, Safety and Health Policy for the Department of Energy Complex
- P 450.2 Identification, Implementation, and Compliance with Environment, Safety and Health Requirements
- P 450.4 SEN-22-90 DOE Policy on Signatures of RCRA Permit Applications
- O 450.1 5400.1 General Environmental Protection Program
- O 451.1 National Environmental Policy Act Compliance Program
- 5400.1E (1) National Environmental Policy Act Compliance Program

460 Packaging and Transportation. Transportation of hazardous and non-hazardous goods and materials, except for household goods.

- O 460.1 5480.3 (1) Packaging and Transportation Safety
Safety Requirements for the Packaging and Transportation of Hazardous Materials, Hazardous Substances and Hazardous Wastes
- O 460.2 Departmental Materials Transportation and Packaging Management
- 1540.1A (1) Materials Transportation and Traffic Management
- 1540.2 (1) Hazardous Material Packaging for Transport - Administrative Procedures
- 1540.3A (1) Base Technology for Radioactive Material Transportation Packaging Systems
- O 460.3 5610.12 Packaging and Offsite Transportation of Nuclear Components, and Special Assemblies Associated with Nuclear Explosives
- O 460.4 5610.14 Transportation Safeguards System Program Operations

470 Safeguards and Security. Physical, personnel, and information security; information classification; nuclear materials protection and accountability; and intelligence activities and information.

- O 470.1 Safeguards and Security Program
- 5630.11B (1) Safeguards and Security Program
- 5630.13A (1) Master Safeguards and Security Agreements
- 5630.14A (1) Safeguards and Security Program Planning
- 5630.15 (1) Safeguards and Security Training Program
- 5630.16A (1) Safeguards and Security Acceptance and Validation Testing Program
- 5630.17 (1) Safeguards and Security (S&S) Standardization Program
- 5631.1C (1) Safeguards and Security Awareness Program
- 5631.4A (1) Control of Classified Visits
- 5634.1B (1) Facility Approvals, Security Surveys, and Nuclear Materials Surveys
- 5634.3 (1) Foreign Ownership, Control, or Influence Program
- 5639.3 (1) Violation of Laws, Losses, and Incidents of Security Concern
- O 470.2 5630.12A Safeguards and Security Inspection and Assessment Program

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| O 471.1 | | Identification and Protection of Unclassified Controlled Nuclear Information |
| | 5635.4 (1) | Protection of Unclassified Controlled Nuclear Information |
| | 5650.3A (1) | Identification of Unclassified Controlled Nuclear Information |
| O471.2 | | Information Security Program |
| | 5630.8A (1) | Safeguarding of Naval Nuclear Propulsion Information |
| | 5639.1 (1) | Information Security Program |
| | 5639.5 (1) | Technical Surveillance Countermeasures Program |
| | 5639.6A (1) | Classified Automated Information System Security Program |
| | 5639.7 (1) | Operations Security Program |
| O 471.3 | 5610.2 | Control of Weapon Data |
| M 471.4 | M 5639.6A-1 | Manual of Security Requirements for Classified Automated Information |
| O 471.4 | 5650.4 | Unclassified Controlled Nuclear Information |
| O 471.5 | 5650.2B | Identification of Classified Information |
| O 472.1 | | Personnel Security Program |
| | 5631.2C (1) | Personnel Security Program |
| | 5631.6A (1) | Personnel Security Assurance Program |
| O 473.1 | 5632.1C | Protection and Control of Safeguards and Security Interests |
| M 473.1 | M 5632.1C-1 | Manual for Protection and Control of Safeguards and Security Interests (Except Chapter III and IX) |
| O 473.2 | 5632.7A | Protective Force Program |
| M 473.2 | M 5632.7-1 | Firearms Qualifications Courses Manual |
| O 474.1 | 5633.3B | Control and Accountability of Nuclear Materials |
| O 475.1 | 5670.1A | Management and Control of Foreign Intelligence |
| O 475.2 | 5639.8A | Security of Foreign Intelligence Information and Sensitive Compartmented Information Facilities |
| O 475.3 | 5670.3 | Counterintelligence Program |

480 Work for Others and Technology Transfer. Work performed for other Federal agencies and private industry, and programs for transferring technology to the private sector.

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| P 480.1 | SEN-30A-92 | Staying on the Course for Technology Transfer at the Department of Energy |
| O 480. | 5800.1A | Research and Development Laboratory Technology Transfer Programs |
| O 481.1 | 4300.2C | Non-Department of Energy Funded Work (Work for Others) |

500 BUSINESS AND SUPPORT SERVICES

510 Legal. FOIA and Privacy Act, and any directives related to legal and patent/copyright processes.

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| O 510.1 | 1100.3 | Office of Hearings and Appeals |
| O 511.1 | 1130.8A | Data Integrity Board |
| O 512.1 | 1700.1 | Freedom of Information Program |
| O 512.2 | 1800.1A | Privacy Act |
| O 513.1 | 3733.1 | Employee Participation in Political Activities |

520 Finance. Special methods for financing programs.

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| P 520.1 | SEN-34-91 | Implementation of the Chief Financial Officers Act of 1990 |
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- O 521.1 5700.5A Policy and Management Procedures for Financial Incentives Program
- O 522.1 2110.1A Pricing of Departmental Materials and Services

530 Accounting. Accounting, except accounting for special nuclear materials.

- O 531.1 2100.8A Cost Accounting, Cost Recovery, and Interagency Sharing of Information Technology Facilities
- O 532.1 2200.2B Collection from Current and Former Employees for Indebtedness of the United States
- O 532.2 2200.11 Processing Garnishment Orders for Child Support and/or Alimony
- O 534.1 Accounting
 - 2100.3A (1) Transfer of Contracts Between Departmental Elements
 - 2200.4 (1) Accounting Overview
 - 2200.5B (1) Fund Accounting
 - 2200.6A (1) Financial Accounting
 - 2200.7 (1) Cost Accounting
 - 2200.8B (1) Accounting Systems, Organizations, and Reporting
 - 2200.9B (1) Miscellaneous Accounting
 - 2200.10A (1) Accounts, Codes, and Illustrative Entries
- O 535.1 3600.1B Time and Attendance Reporting

540 Procurement and Grants Management. Contractual arrangements for procurement of goods and services, and for grants to organizations. It does not include procurement of utilities, laundry, and other similar commercial services, nor does it include procurement of ADP and telecommunications equipment.

- O 540.1 1331.1D Procurement and Assistance Data System
- O 540.2 1331.2B Departmental Business Instrument Numbering System
- O 540.3 1332.2 Uniform Reporting System for Federal Assistance (Grants and Cooperative Agreements)
- O 541.1 4200.4A Selection, Appointment, and Termination of Appointment of Contracting Officers
- O 541.2 4210.1C Designation of Source Selection Officials
- O 541.3 4220.4 Organizational Conflict of Interest Processing Procedures
- O 542.1 4200.1C Competition in Contracting
- O 542.2 4210.9A Unsolicited Proposals
- O 542.3 4250.1A Small Business/Labor Surplus Area Set-Aside and 8(a) Program Review Procedures
- O 543.1 4210.7B Indirect Cost Rate Responsibilities
- O 544.1 5560.1A Priorities and Allocations Program
- O 545.1 1270.1 Funds-Out Interagency Agreements

550 Travel and Transportation. Transportation of non-hazardous goods and materials, motor pool management, and travel policies and reimbursement procedures.

- O 550.1 1500.2A Travel Policy and Procedures
- O 551.1 1500.3 Foreign Travel Authorization
- O 552.1 1500.4A Travel Charge Card Program

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560 Telecommunications and Data Systems. Procurement and management of telecommunications, telephone services, ADP equipment, software, maintenance, and services.

- O 561.1 5300.1C Telecommunications
- O 561.2 5300.2D Telecommunications: Emission Security (TEMPEST)
- O 561.3 5300.3D Telecommunications: Communications Security
- O 561.4 5300.4D Telecommunications: Protected Distribution Systems
- O 562.1 1330.1D Computer Software Management
- O 564.1 1450.3A Call Control/Verification Programs and Authorized Use of Government Telephone Systems
- N 564.1 Headquarter Operator Services (10-05-95)
- O 564.2 1450.4 Consensual Listening-In to or Recording Telephone/Radio Conversations
- O 565.1 1360.2B Unclassified Computer Security Program
- 1360.1B (2) Acquisition and Management of Computing Resources
- 1360.3C (2) Information Technology Standards
- 1360.6A (2) Automatic Data Processing Equipment/Data Systems
- 1360.8A (2) Analyses of Benefits and Costs for Information Technology Resources Initiatives
- 1450.1C (2) Acquisition, Utilization, and Administration of Teleprocessing Services

570 Administrative Services. Mail, file, office space management, reproduction, printing, and general office services.

- O 571.1 1410.2 Mail Management

580 Property Management. Personal property management, acquisition, and disposition.

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CHAPTER II
DIRECTIVES DEVELOPMENT

1. RESPONSIBILITIES.

- a. Secretary of Energy approves all Policy Statements.
- b. Assistant Secretary for Human Resources and Administration approves Orders, Notices, Manuals and Guides.
- c. Cognizant Secretarial Officers approve requests for exemptions as applicable.
- d. Field Managers approve requests for exemptions as applicable.
- e. Offices of Primary Interest.
 - (1) Develop and maintain directives within their functional areas that conform to the requirements of this Order.
 - (2) Prepare Directives Management Documents (Attachment II-1) for new Orders, Manuals, and major revisions to existing Orders.
 - (3) Prepare cost of implementation estimates for directives with new requirements unless the requirements are imposed by Law, Executive order, Office of Management and Budget direction, or by regulation of another agency.
- f. Directives System Manager.
 - (1) Approves Directives Management Documents.
 - (2) Determines that Policy Statements, Orders, Notices, Manuals and Guides, and revisions thereto conform to the requirements of DOE O 251.1 and this Manual prior to forwarding them for approval.
 - (3) Assists Offices of Primary Interest in developing Policy Statements, Orders, Notices, Manuals and Guides that conform to the objectives and requirements of DOE O 251.1 and this Manual. This includes participation in process improvement teams, assignment of directives numbers, provision of editorial assistance, development of a review schedule, distribution and receipt of draft directives and comments thereon, and assistance in comment resolution.

- (4) Establishes and updates systems, processes, and procedures affecting the Directives System (e.g., system automation, resolution of technical issues, reduction of the number and length of directives, prevention of directives development outside the Directives System, etc.).
- (5) Provides administrative support to the Directives Management Board.
- g. Heads of Departmental Elements and Management and Operating Contractors provide comments on Directives Management Documents and draft Policy Statements, Orders, Notices, Manuals, and Guides particularly regarding the need for the directive, the appropriateness of and value added by requirements, cost of implementation, and suggestions for alternative implementation methods, if appropriate.

2. DIRECTIVES DEVELOPMENT PROCESS.

- a. Policy Statements are issued at the discretion of the Secretary. The originating office shall work with the Directives System Manager to determine the schedule for issuance and the appropriate level of coordination and review.
- b. Orders and Manuals. The steps below must be followed for each new Order or Manual or major revision thereto.
 - (1) The Office of Primary Interest shall identify the need for a directive. This may result from new legislation, a change or development in Departmental policy, a change in technology, etc.
 - (2) The Head of the Office of Primary Interest shall appoint a Directive Development Manager who shall determine the type of directive that is appropriate as well as the Departmental Elements and contractors to which it applies, and establish a Process Improvement Team if appropriate.
 - (3) The Directive Development Manager and Directives System Manager shall agree on a schedule for completion of major tasks; for example, preparation of Directives Management Document and draft directive, review of each by Departmental Elements and contractors, preparation of cost of implementation estimates (if required), resolution of comments, preparation of final directive, approval, and distribution.
 - (4) The Directive Development Manager shall develop the Directives Management Document for a new Order, Manual, or a revision to an Order or Manual, using the format and outline provided in Attachment 11-1. The Directives Management

Document shall then be submitted to the Directives System Manager for editorial review and coordination within the Department and among contractors.

- (5) Departmental Elements and contractors shall review the Directives Management Document to identify significant issues, determine the feasibility of implementing the proposed directive, provide suggestions for alternate approaches, and provide estimates of implementation costs when requested. See Chapter III for details on the coordination process.
 - (6) The Office of Primary Interest shall prepare the cost of implementation estimate if required by paragraph 1c(3) of this Chapter.
 - (7) The Directive Development Manager, with editorial assistance provided by the Office of Organization and Management, shall prepare a draft directive using input generated by the Directives Management Document and direct participation from customers where appropriate, and shall submit it to the Directives System Manager for coordination.
 - (8) The Directives System Manager shall conduct an editorial review of the draft document by examining its organization and internal consistency, determining its compatibility with other directives and external regulations, and ensuring that its provisions are clearly and succinctly stated. It shall then be distributed to Department Elements and contractors for review.
 - (9) Departmental Elements and contractors shall review the draft directive and provide comments to the Directive Development Manager, who shall prepare the final draft for approval in accordance with Chapter III of this Manual.
- c. Notices. The process used for Orders and Manuals shall be used for Notices where feasible. However, since Notices may deal with transitory issues or may need to be issued more quickly, some or all of the requirements in paragraphs 2b(4) through (8) of this chapter may be omitted, subject to approval of the Directives System Manager.
- d. Guides. The coordination and issue resolution process used for Orders and Manuals shall be used for Guides, as prescribed in Chapter III, paragraphs 3 (a) through (i) of this Manual. Guides are subject to the sunset review process indicated in Chapter VI of this Manual. For detailed guidance on the processing of Safety and Implementation Guides, please refer to DOE Technical Standard DOE-STD-1075-94, "Standard for Developing and Issuing DOE Safety Guides and Implementation Guides," of 7-94.

3. CONTENT AND FORMAT REQUIREMENTS FOR DIRECTIVES.

- a. Policy Statements. Policy Statements shall address broad issues within the area of responsibility of the originator but shall not normally contain specific requirements; rather, they shall set the framework under which requirements are established. The format of Policy Statements is at the discretion of the originator of the document, but should address the purpose, scope, and policy as a minimum.
- b. Orders and Notices. These documents shall contain objectives, requirements, and responsibilities. The sections specified below shall be used unless a deviation is authorized by the Directives System Manager.
- (1) Objectives. The expected products or other benefits expected to be achieved by implementation of the directive shall be identified. Refer to paragraph 1 of DOE O 251.1, DIRECTIVES SYSTEM, of 10-16-95, for an example.
 - (2) Cancellation. All directives canceled by the new directive shall be identified by number, title, and date.
 - (3) Applicability.
 - (a) The Departmental Elements and contractors to which the directive applies shall be identified. Exclusions shall also be identified. If requirements are to be applied to contractors, the universe of these contractors and subcontractors shall be described such that it is as small as possible.
 - (b) Requirements for contractors shall be set forth in a Contractor Requirements Document (CRD), which shall be referred to in the Applicability paragraph. Requirements for contractors are not to be set forth in the body of a directive. Contractor compliance with a CRD is contingent upon incorporation in a contract, usually by reference. If it is applicable to specific functions or facilities, the directive should identify the function or facility. When the term "facility" is used, it must be enhanced to show whether the term is intended to include contractors and to describe the universe of these contractors.
 - (4) Requirements. These are mandatory statements, the accomplishment of which is necessary to achieve the directive's purpose.

- (a) Requirements must have a measurable or verifiable outcome whenever possible and be focused on outcomes rather than methodology.
 - (b) Requirements must allow flexibility in implementation whenever possible to encourage the most cost effective means of compliance.
 - (c) Requirements must add value commensurate with the cost of their implementation and must be kept to the minimum necessary to accomplish the directive's objectives.
 - (d) Requirements should not repeat voluminous information from other sources (such as laws, Regulations, or other DOE Orders) that can easily be incorporated by reference.
 - (e) Requirements should not be stated like responsibilities; that is, they should not identify the entity responsible for the action.
- (5) Responsibilities. Accountability shall be assigned for requirements within DOE. Responsibilities are to be described in terms of outcome rather than methodology or procedures.
- (6) References. If the directive is to be accompanied by a Guide, this paragraph shall not be used. If no Guide is required because the requirements are straightforward and require no additional explanatory information or criteria for determining compliance, this section shall describe additional sources of information to assist the implementation of the directive.
- (7) Contact. The organization title and/or the name of an individual with a telephone number shall be provided.
- (8) Contractor Requirements Document. The CRD is an attachment to an Order or Manual that identifies contractor requirements. The CRD may be incorporated into contracts without alteration and must be written with this in mind. Accordingly, it must not set forth instructions for DOE staff or describe the universe of prime contracts to which it is to be applied. Special instructions for application of the CRD to a contractor shall be set forth in the Applicability paragraph. It is, however, appropriate to describe the universe of subcontractors to which the prime contractor is to flow down requirements. The CRD is to be a stand alone document and shall not generally reference the DOE directive to which it is attached.

- c. Manuals. Manuals supplement DOE Orders and are used to provide details or required procedures where necessary to enable fulfillment of requirements. This Manual serves as an example of an acceptable format.
 - d. Guides. Guides provide non-mandatory, supplemental information about acceptable methods for implementing requirements contained in DOE Regulations and Orders. See Chapter III, paragraphs 3 (a) through (i) for the coordination of Guides. For detailed guidance on the development and processing of Safety and Implementation Guides, please refer to DOE Technical Standard DOE-STD-1075-94, "Standard for Developing and Issuing DOE Safety Guides and Implementation Guides," of 7-94.
4. EXEMPTIONS. An exemption is a written release from an applicable requirement(s) of DOE Orders, Notices, and Manuals that has been granted to a DOE Element or Contractor, by the appropriate official. The term "originating office," as used in this paragraph, is used to describe the organization responsible for developing and ensuring performance of requirements contained in mandatory DOE Directives. The Cognizant Secretarial Officer is the DOE official with programmatic responsibility for activities and facilities which are located in the field.
- a. For Risk Category A or Hazard Level 1 nuclear facilities requesting an exemption from an Environment, Safety and Health or related requirement(s), approval authority to grant exemptions to DOE Directives, or parts thereof, rests with the Cognizant Secretarial Officer with programmatic responsibility for these facilities. Secretarial Officers may redelegate the authority to grant exemptions.
 - (1) If authority to grant exemptions has been delegated to an individual in a field organization, the Cognizant Secretarial Officer and originating office shall be provided with written advance notification of an exemption approval at least 30 working days prior to approval in order to ensure consistency with Departmental policy and identification of any significant safety concerns.
 - (2) Advance notification of an exemption approval is required to allow involvement and consultation with all interested organizations within DOE.
 - b. Except for the exclusions in paragraph a, above, and unless otherwise stated in a specific directive, approval authority to grant exemptions to DOE Directives, or parts thereof, rests with the Operations Office Manager or Field Office Manager ultimately responsible for activities and facilities which are located in the field. Assistant Secretaries have the authority to grant exemptions to DOE Directives, or parts thereof, for activities and facilities for which they are responsible at DOE Headquarters.

- (1) The Cognizant Secretarial Officer and originating office shall be provided with written advance notification of an exemption approval at least 30 working days prior to approval in order to ensure consistency with Departmental policy and identification of any significant safety concerns.
 - (2) Advance notification of an exemption approval is required to allow involvement and consultation with all interested organizations within DOE. When advance notification of an exemption approval is provided, the Cognizant Secretarial Officer and originating office should provide concurrence on each exemption or justification for nonconcurrence within the specified time period. Failure to respond to the advance notification within the specified time frame is an implied concurrence and the Operations Office Manager or Field Office Manager is free to proceed with the exemption approval without any further involvement.
- c. Each organization requesting an exemption shall submit a formal written request to the appropriate approval authority. Each exemption request should address the following essential elements:
- (1) Description of activity or condition;
 - (2) Reference to the requirement(s) for which an exemption is sought;
 - (3) The specific activities that would be necessary to implement the requirement(s) for which an exemption is sought;
 - (4) For environment, safety and health requirements, steps taken to provide protection and statement of whether adequate safety is provided and, if not, assessment of residual risk;
 - (5) The alternative or mitigating actions which have or will be taken to ensure adequate safety and protection of the public, the workers, and the environment for the period during which the exemption will be effective;
 - (6) Identification and justification of the acceptance of any additional risks which will be incurred if the exemption is granted;
 - (7) What benefit is realized by not meeting the requirement from which the exemption is sought; and
 - (8) Whether the exemption being requested is temporary or permanent, and for temporary exemptions, indicate when compliance will be achieved.

5. REVISIONS. Changes shall be made to a directive through complete revision or page changes. A transmittal sheet must summarize content changes and include filing instructions as necessary.
 - a. When a directive is substantially changed (50 percent of the pages or more contain changes), it must be reissued. Each revision shall be assigned the original number and identified by a suffix capital letter (the first revision is A, the second B, and so on).
 - b. Minor changes to a Policy Statement, Order, or Manual shall be issued as page changes. The directive's number shall not be changed, but on each changed page, the change number and date of the page shall be shown beneath the directive's number. If necessary, pagination is adjusted by adding letters to the page numbers (11, 12, 12a, 12b) or by adding a blank page that lists page numbers that have been deleted.
 - c. If a Notice is changed, it must be reissued in its entirety or replaced by an Order.
 - d. Where feasible, changes to a directive will be identified by use of side bars.
 - e. The Directives System Manager, with input from the Office of Primary Interest, will determine the degree and extent of coordination required for page changes.
6. CANCELLATIONS. The Office of Primary Interest and the Directives System Manager must approve the cancellation of a directive. A directive shall be canceled by citation in the cancellation section of another directive or by being cited in a Notice issued for the purpose of canceling one or more directives. The cancellation clause should provide for deletion of the requirements in the old Orders at the proper time. The clause should incorporate the following language: "The Orders listed below are canceled. Cancellation of an Order does not, by itself, modify or otherwise affect any contractual obligation to comply with such an Order. Canceled Orders which are incorporated by reference in a contract shall remain in effect until the contract is modified to delete the reference to the requirements in the canceled Orders."

FORMAT FOR DIRECTIVE MANAGEMENT DOCUMENTS

PROPOSED TITLE AND NUMBER OF THE DIRECTIVE: _____

1. PURPOSE OF PROPOSED DIRECTIVE. Briefly describe the scope of the proposed Order, state why it is being issued, and describe its intended benefits.
2. APPLICABILITY. Identify Departmental Elements and categories of contractors and contracts to which the directive is intended to apply. (Categories of contractors include M&O, support service, environmental restoration, etc., and types of contracts include cost-type, fixed price, architect-engineer, contracts involving access to or performance of classified work, etc.) Applicability may also be defined in terms of functions or types of facilities. Indicate whether the directive is intended to apply to existing contracts/facilities or only to future contracts/facilities.
3. IMPACT. Summarize principal anticipated effects of the proposed Order on DOE Elements and contractors. Identify requirements, activities, reporting requirements, etc., that will be created or abolished and the anticipated implementation date.
4. COST OF IMPLEMENTATION. Cost estimates are not necessary if the requirements are imposed by law, Regulation, or Office of Management and Budget direction. Otherwise, provide an estimate of the implementation cost including both direct and indirect costs. State that reviewers are encouraged to provide comments on the validity of the cost estimates and to suggest alternative means that are more cost effective.
5. RELATED DIRECTIVES. Identify whether one or more Manuals, Guides, or Technical Standards will be prepared for the directive.
6. DIRECTIVE MANAGEMENT ISSUES. Identify a schedule for development, coordination, and issuance of the directive. State whether a Process Improvement Team will be established and solicit participation, if appropriate.
7. REFERENCES. List related directives as references.

CHAPTER III

COORDINATION AND ISSUE RESOLUTION PROCESS

1. INTRODUCTION. This chapter provides instructions on the coordination and issue resolution process for Directives Management Documents and draft directives.
2. RESPONSIBILITIES.
 - a. Offices of Primary Interest. through the Directive Development Manager, resolve comments received from reviewers and provides feedback to them prior to submitting a final draft directive for approval.
 - b. Directives Management Board resolves issues that cannot be resolved by the Office of Primary Interest or the Directives System Manager. The Board may appoint ad hoc working groups from among its membership to resolve issues concerning particular directives. Issues not resolved by the Directives Management Board may be forwarded to the Under Secretary, Deputy Secretary, or Secretary. The Directives Management Board consists of Heads of the following Departmental Elements.
 - (1) Assistant Secretary for Human Resources and Administration (chair).
 - (2) All cognizant Secretarial Officers.
 - (3) Assistant Secretary for Environment, Safety, and Health.
 - (4) Associate Deputy Secretary for Field Management.
 - (5) Director, Office of Security Affairs.
 - (6) Director, Office of Emergency Management.
 - (7) Chief Financial Officer.
 - (8) Operations Office representative.
 - (9) Power Marketing Administration representative.
 - c. Directives System Manager.
 - (1) Facilitates issue resolution between the OPI and reviewers.
 - (2) Provides administrative support to the Directives Management Board.

- (3) Coordinates the directive development and review schedules, ensures adequate quality of draft directives prior to coordination, distributes draft directives for review, receives comments thereon, and transmits for final approval.
 - d. Departmental Elements and M&O Contractors provide analyses and comments within established schedules.
3. COORDINATION AND ISSUE RESOLUTION PROCESS.
 - a. The Directive Development Manager shall prepare the Directives Management Document or the draft directive as described in Chapter II and shall submit it to the Directives System Manager for coordination.
 - b. The Directives System Manager shall assign an editor to perform a quality review, checking for editorial standards, conformance with directives system requirements, redundancy, and consistency with other directives.
 - c. The Directive Development Manager and the Directives System Manager shall identify Departmental Elements and M&O contractors to review the document. The Directives System Manager shall establish goals of 60 days for review and comment and 60 days for issue resolution for draft directives. Normally, Directives Management Document goals are set for 30 days for review and comment and 30 days for issue resolution.
 - d. The Directives System Manager shall distribute the Directives Management Document or the draft directive to reviewers who will prepare "major issues" and "suggested comments" thereon. A major issue concerns requirements or other provisions of the draft directive that would have a serious, adverse effect on mission accomplishment, economy, efficiency, policy, objectives, or other management concerns that should preclude its publication.
 - e. M&O Contractors shall return their comments to the cognizant Operations Office. Departmental Elements shall submit their comments and those from their contractors to the Directives System Manager (for tracking purposes) who will forward them to the Directive Development Manager. Operations Offices should highlight disagreements with issues raised by a contractor and must include all contractor comments as an attachment. Operations Offices shall send copies of major issues to the Associate Deputy Secretary for Field Management. Consideration of issues and comments received after the due date may be delayed until the next revision or sunset review.

- f. The Directive Development Manager shall attempt to resolve major issues with the reviewing party. Unresolved major issues shall be forwarded by the Head of the Departmental Element that raised the issue to the Directives System Manager.
- g. The Directives System Manager shall resolve all administrative issues. Other technical issues shall be referred to the Directives Management Board.
- h. For each issue on the Directives Management Board agenda, the Office of Primary Interest and the commenting party shall prepare a paper in support of their position and present it to the Board.
- i. Before the directive is issued, the Directives System Manager shall determine the need for a final editorial review.

CANCELLED

CHAPTER IV
SUPPLEMENTAL DIRECTIVES

Supplemental directives are issued by a Headquarters or Field Element for use by that organization and its contractors. Such directives assign responsibilities or establish procedures at the local level. The supplement may correlate to a DOE directive or cover other topics. If significant additional resources are required, the implementing organizations, including M&O contractors, must have the opportunity to assess implementation costs and value added before the supplemental directive is finalized and may appeal imposition of the directive to the Directives Management Board. Supplemental directives must not contradict or ignore provisions in any applicable DOE Policy Statement, Regulation, Order, Notice, or Manual.

CANCELLED

CHAPTER V
UNAUTHORIZED DIRECTIVES

1. INTRODUCTION.

- a. This chapter describes a process for handling directives-type material that is issued outside the Directives System. Technical direction from a contracting officer or contracting officer's representative is not an unauthorized directive. Similarly, directions issued by a Headquarters organization to its functional counterparts in Field Elements (e.g., from Director, Office of Personnel, to Personnel Directors in Field Elements) are not unauthorized directives.
- b. It is important not to issue directives-type material outside the Directives System for the following reasons.
 - (1) It fails to receive appropriate evaluation by affected parties.
 - (2) It often is not distributed to all affected or interested parties.
 - (3) Over time, it will be ignored or forgotten because it is not in a structured system under which it may be retrieved.
 - (4) The issuance of such material through inappropriate means may have unintended financial or legal consequences.

2. RESPONSIBILITIES.

- a. Departmental Elements and Contractors notify the Directives System Manager of documents that may improperly contain directives-type material.
- b. Directives System Manager reviews the document, determines if it contains material that should be included in the Directives System.

3. HANDLING UNAUTHORIZED DIRECTIVES.

- a. If the document is legitimate, the Directives System Manager shall take no further action other than to inform the reporting organization.
- b. If the document improperly transmits directives-type material, the Directives System Manager shall work with the appropriate Office of Primary Interest to dispose of the document in one of three ways.

- (1) The document may be withdrawn or modified.
- (2) The document may be proposed for conversion to a directive, following the appropriate process. If the subject of the directive is time-critical, the Directives System Manager may issue a Notice until an Order is formally developed.
- (3) If the originator of the document is dissatisfied with its disposition, the Departmental Element that originated the document may petition the Directives Management Board for resolution.

CANCELED

CHAPTER VI

SUNSET REVIEW

1. INTRODUCTION. Each Policy Statement, Order, Manual, and Guide shall be reviewed every 2 years to determine whether cancellation, revision, or continuation is appropriate.
2. RESPONSIBILITIES.
 - a. Offices of Primary Interest.
 - (1) Advise the Directives System Manager of the need to revise or rescind Policy Statements, Orders, Manuals, or Guides and help the Directives System Manager conduct sunset reviews.
 - (2) Determine, based on the survey mentioned below, whether directives need revision.
 - b. Directives System Manager manages the sunset review process, sends a user survey to Departmental Elements, and publishes all revisions, cancellations, and extensions.
3. SUNSET REVIEW PROCESS DESCRIPTION. Policy Statements, Orders, and Manuals carry an expiration date of 4 years. The need for each directive is determined by conducting a survey every 2 years. A sunset review date, which signals the end of this 2 year period, is indicated on the cover page of the directive. The Office of Primary Interest and the Directives System Manager shall review survey results and determine whether the directive needs to be revised, canceled, or extended without revision.
 - a. If the survey indicates that revisions are required, the Office of Primary Interest shall proceed with the revision, including development of a Directives Management Document and an implementation cost estimate if one is required.
 - b. The Directives System Manager shall distribute a quarterly report to all Departmental Elements listing directives that have been reviewed, canceled, revised, or extended without revision.
4. EXCLUSIONS. DOE Safety Orders applicable to defense nuclear facilities shall not automatically expire within the given 4 year period as indicated in paragraph 3, above, but shall remain in effect until superseded or replaced.