

OFFICE OF SECURE TRANSPORTATION

POLICY NUMBER: OST P 1.34

TITLE: Office of Secure Transportation Directives System

EFFECTIVE DATE: 3-26-07

PURPOSE: This Policy establishes the guidelines for development and maintenance of the Office of Secure Transportation (OST) Directives System.

SCOPE: This Policy applies to all Offices, Commands/Divisions, and Branches in OST.

PROPONENT: Planning and Programs Office (PPO).

EXTERNAL RECORD DOCUMENTS:

- DOE M 251.1A, Directives System Manual
- DOE P 251.1, Directives System

INTERNAL RECORD DOCUMENTS:

- Templates: [OST Policy](#); [OST SOP](#); [OST Notice](#)
- OST SOP 1.00.01, Control of OST Directives System Documents

POLICY

1. Objectives/Expectations

- a. A formalized system for OST Directives is required to establish organized communication of OST management objectives/expectations for the performance of work within OST. The OST Directives System establishes a best business practice within the organization.
- b. The OST Directives System includes OST Policies, OST Standard Operating Procedures (SOPs), OST Manuals (also known as Desk Top Instructions/Work Instructions) and OST Notices. OST Directives should not conflict with one another. In the event of any conflict, Policies take precedence over SOPs, Manuals and Notices; SOPs take precedence over Manuals and Notices; and Manuals take precedence over Notices.
- c. Forms are included in the Directives System and may flow from any of the directives documents.
- d. OST Directives shall not duplicate or conflict with existing requirements contained in applicable laws, regulations, Executive Orders or Department of Energy or National Nuclear Security Administration directives.
 - (1) **Policy:** Describes OST's management objectives/expectations and is general in nature. Responsibilities are identified with respect to management objectives/expectations.
 - (a) A Policy is a corporate level document only.
 - (b) A Policy identifies who has authority for the execution or management of a program/process or project and what the program/process or project entails.

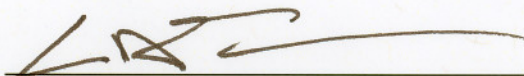
- (c) A Policy does not contain processes/procedures or detailed descriptions of requirements.
- (d) SOPs and Manuals flow from Policies, and tasks are detailed/specified in these directives.
- (e) Where feasible, a Policy will avoid duplication and unnecessary additions to external and internal requirements.
- (2) **Standard Operating Procedures (SOPs):** Identify major tasks/requirements executed to support OST management objectives/expectations and includes a flowchart of the major tasks.
 - (a) A SOP is the “high level” *how* a process/project or program will be executed.
 - (b) A SOP does not contain the detailed instructions for each task identified in the SOP.
- (3) **Manuals (work instructions/desk top procedures):** Provide the detail for the implementation of specific tasks.
- (4) **Notices:** Communicate immediate or short-term OST management objectives/expectations that in most cases will be included in a Policy or other directive at a later date.
- (5) **Forms:** Documents that must be filled in/completed as part of a process or program.
- e. Maintenance of OST Directives includes a review/revision on a regular basis by the originator to determine accuracy and completeness of the directive. The schedule for review/revision of the directive is required every two years, to be completed prior to the signed date of the old policy. The approval levels for each directive document are identified in the OST SOP, “Control of Directives System Documents”. A review/revision to a directive may be required at an earlier date if the proponent deems it necessary.
- f. Directives that contain classified information will be marked in accordance with applicable regulations and policies.
- g. The OST Directives System is applicable to OST contractors to the extent provided by the terms of each contract.

2. Responsibilities

- a. The Assistant Deputy Administrator (ADA) is the approval authority for OST Policies and Notices and for any request for exemptions to a Policy.
- b. The Office Managers, the ADA, and Division/Command Directors are responsible to ensure the development of Notices.
- c. The Directives System Program Manager (DS PM), is responsible for directives system document control to include:
 - (1) Providing Policy, SOP, Form and Notice numbers to document owners.
 - (2) Staffing of the directives for review/revision.
 - (3) Maintaining record documentation of Policies and Notices according to the OST File Plan to include the Document Background and History Form, the Staff Summary Sheet (SSS), staffing review comments/responses during revision, and archive copies of the document.
 - (4) Posting of directives to the OST-Web.
 - (5) Ensuring review of directives on a regular basis.
- d. Division Directors/Command/Branch Chiefs are responsible to ensure the development and revision of Policies and the inclusion of Notice information into a directives document.

- e. The Division/Command Directors/Branch Chiefs are responsible for the development, revision, staffing and disposition of SOPs and Forms to include:
- (1) SOP's not requiring another organization's input into the SOP process shall be staffed for approval by the originating Division /Command Director.
 - (2) SOP's requiring another organization's input into the SOP process (outside the originating division) will use the SSS and shall be staffed for comments and concurrence to all contributing Directors.
 - (3) SOP's shall be approved at the originators' Director level.
 - (4) The originator of the SOP or Form shall be responsible for the development and maintenance of documentation including:
 - (a) Appropriate staffing of the document for review/revision.
 - (b) Requesting an SOP or Form number from the Directives System PM.
 - (c) Maintaining record documentation according to the OST File Plan to include the Document Background and History Form, SSS, staffing review comments/responses and archiving copies of the document.
 - (d) Providing a final signed copy of the SOP or the final Form to the Directives System PM for posting on the OST- Web.
- f. The above directive requirements do not apply to Manuals (desktop procedures/work instructions) at this time. Although Manuals are included in the OST Directives System hierarchy, the responsibility for document control of OST Manuals lies with the owner organization.
- g. The OST SOP 1.00.01, "Control of OST Directives System Documents," defines the procedure for the development, revision, recession, and approval of OST Directives System Documents to include Policies, SOPs, Forms and Notices.

APPROVING OFFICIAL:



Craig A. Tucker, Assistant Deputy Administrator
Office of Secure Transportation

3/26/07
Date