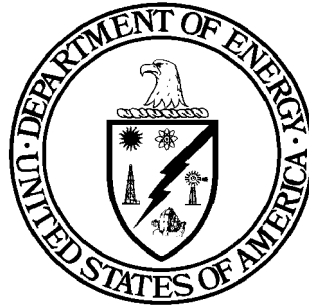


DOE M 251.1-1A

*Approved: 1-30-98*  
*Review date: 1-30-00*

# DIRECTIVES SYSTEM MANUAL

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U.S. DEPARTMENT OF ENERGY  
Assistant Secretary for  
Human Resources and Administration  
Office of Information Management

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**Distribution:**  
All Departmental Elements

**Initiated By:**  
Office of Information Management

## DIRECTIVES SYSTEM MANUAL

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1. PURPOSE. This Manual provides detailed requirements to supplement DOE O 251.1A, DIRECTIVES SYSTEM, dated 1-30-98. This Manual does not apply to the development and issuance of Regulations or Technical Standards and related documents or to the process for obtaining exemptions from Regulations. This Manual also does not apply to classified directives.
2. SUMMARY. This Manual is composed of six chapters that provide the requirements for implementing the Department of Energy Directives System. Chapter I describes the general directives structure. Chapters II and III address the development, coordination, and issue resolution processes for directives. Chapters IV through VII discuss supplemental directives, the process for handling unauthorized directives, the directives review process, and the process for requesting exemptions from directives requirements. Appendix A describes the approved system for the numbering and subject classification of directives.
3. REFERENCE. DOE O 251.1A, DIRECTIVES SYSTEM, dated 1-30-98.
4. CONTACT. Questions concerning this Manual should be addressed to the Office of Information Management, (202) 586-4716.

BY ORDER OF THE SECRETARY OF ENERGY:



ARCHER L. DURHAM  
Assistant Secretary for  
Human Resources and Administration

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## CHAPTER I

### DIRECTIVES STRUCTURE

1. PROCESS OVERVIEW. Figure 1 provides a flowchart of the directives development process.
2. BACKGROUND. The Directives System is the means by which DOE policies, requirements, and responsibilities are developed and communicated throughout the Department. Directives include Policies, Orders, Notices, Manuals, Regulations, Technical Standards and related documents, and Guides. This Manual sets forth requirements for internal Directives System documents (Policies, Orders, Notices, Manuals, and Guides).
3. DESCRIPTION.
  - a. Directives Establishing Requirements.
    - (1) Policies describe the philosophies and fundamental values of the Department. Other documents in the Directives System flow from Policies and must be consistent with them. Because Policies are general in nature, they may require more specific requirements established in Regulations, Orders, Notices, and Manuals.
    - (2) 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, requirements, and assignment of responsibilities for Federal employees; they also establish intended requirements for contractors.
    - (4) Notices, like Orders, establish management objectives and requirements, and assign responsibilities for Federal employees and intended requirements for contractors. Notices are also used to communicate general information throughout the Department. However, Notices are issued for immediate or short-term use and expire no later than 1 year from issuance. Where appropriate, an extension is granted through the issuance of an additional Notice or the requirements may be incorporated into a revised Order or Manual.

- (5) Manuals identify procedural requirements for Federal employees and intended requirements for contractors that may supplement other directives and provide more instruction about how the provisions of those directives shall be carried out.

NOTE: Provisions contained in an Order, Manual, Notice, or a source other than a Regulation are made requirements applicable to contractors when identified in a Contractor Requirements Document and incorporated in the relevant contract. See DOE O 251.1A, Paragraph 4h, and DOE M 251.1-1A, Chapter II, Paragraph 3b(8).

b. Directives Providing Guidance.

- (1) Guides provide nonmandatory, supplemental information about acceptable methods for implementing requirements, including lessons learned, suggested practices, instructions, and suggested performance measures. Guides may identify acceptable ways to implement requirements by referencing appropriate Technical Standards, but they shall not impose additional requirements.
- (2) Technical Standards and Related Documents are nonmandatory criteria managed under the Technical Standards Program to provide guidance to contractors and DOE personnel on acceptable methods for meeting requirements.

4. DIRECTIVE MANAGEMENT DOCUMENTS. Directive Management Documents (DMDs) solicit information that helps to determine the need for, and scope of, a new Order or Manual or the major revision of an existing one. They are required for all proposed new or significantly revised Orders and Manuals. Attachment II-1 provides the DMD format.

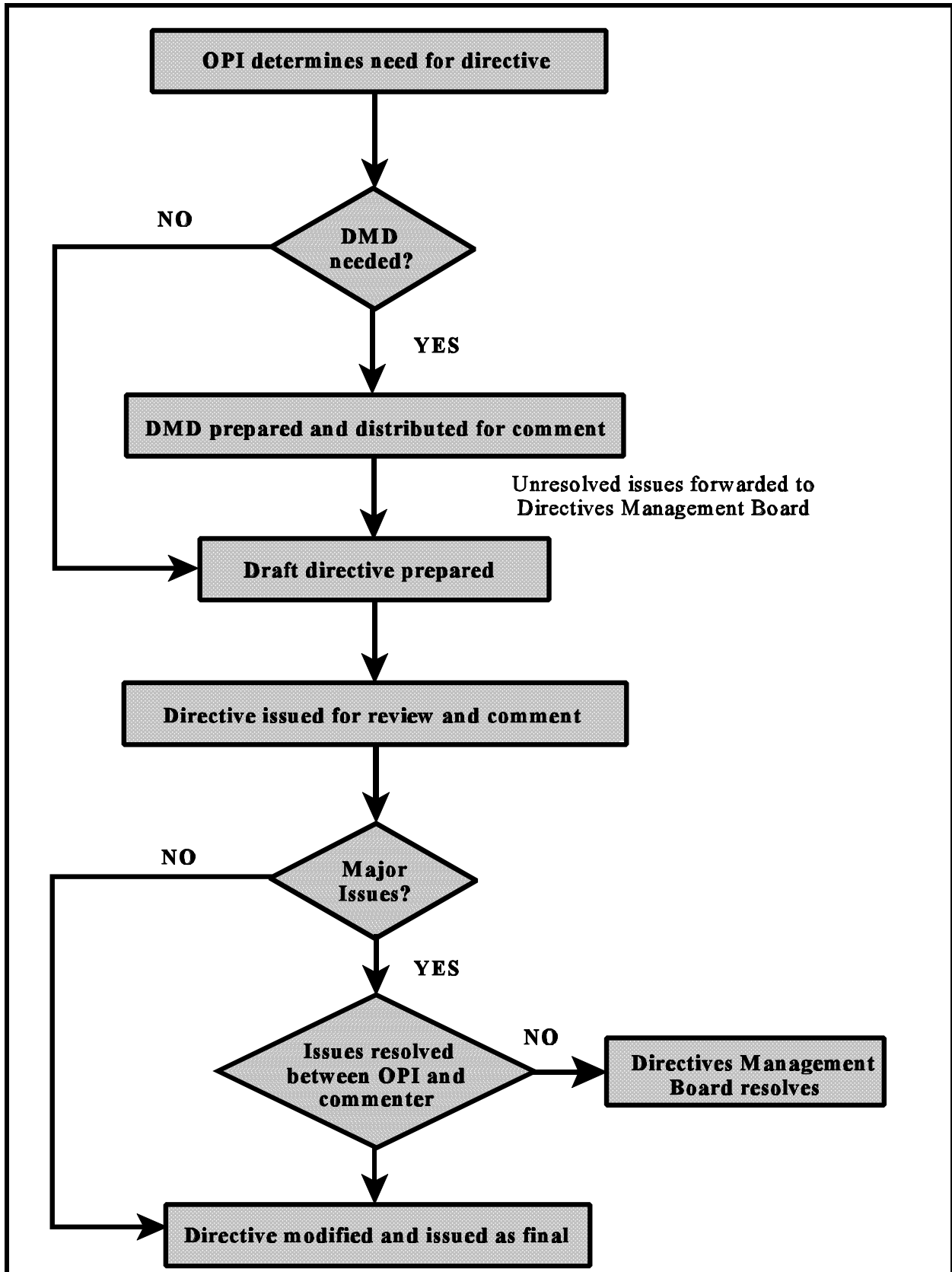


Figure 1. Flow Diagram of Directives Process.

## CHAPTER II

### DIRECTIVES DEVELOPMENT

#### 1. RESPONSIBILITIES.

- a. Secretary of Energy approves all Policies.
- b. Directives Management Board sets overall directives policy for the Department, including the relationship between Rules, Technical Standards, and other directives. The Board is chaired by the Deputy Secretary and consists of heads of selected Departmental Headquarters and Field Elements.
- c. Assistant Secretary for Human Resources and Administration.
  - (1) Approves Orders, Notices, Manuals, and Guides.
  - (2) Appoints the Directives System Manager.
- d. Offices of Primary Interest.
  - (1) Develop and maintain directives within their functional areas that conform to the requirements of this Manual and are responsible for the technical content of directives.
  - (2) Prepare DMDs (Attachment II-1) for new directives and major revisions. The DMD shall reflect preliminary cost documentation.
  - (3) Prepare an initial and final cost impact estimate for each Order, Notice, or Manual with new, modified, or canceled requirements that are likely to increase or decrease implementation costs. **(Note: This requirement will not be implemented until approval and issuance of DOE G 251.1-2.)**
  - (4) The Office of Primary Interest shall, for all directives affecting health and safety at defense nuclear facilities, coordinate with the Departmental Representative to the Defense Nuclear Facilities Safety Board (DNFSB). The Departmental Representative, working with the Office of Primary Interest, will ensure that the DNFSB has been provided an opportunity to comment on directives prior to issuance.
- e. Directives System Manager.
  - (1) Issues DMDs for coordination.
  - (2) Determines that Policies, Orders, Notices, Manuals, and Guides conform to the requirements of DOE O 251.1A and this Manual prior to coordination and approval.



- (3) Assists Offices of Primary Interest in developing Policies, Orders, Notices, Manuals, and Guides. This includes participating in development teams, assigning directives numbers, and providing editorial assistance.
  - (4) Reviews and approves requests for deviations from the format for Orders, Notices, and Manuals.
  - (5) Establishes and updates systems and procedures affecting the Directives System.
- f. Heads of Departmental Elements and Contractors provide comments on directives systems documents as requested.

## 2. DIRECTIVES DEVELOPMENT PROCESS.

- a. Policies are issued at the discretion of the Secretary. The Office of Primary Interest 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.
  - (1) The Office of Primary Interest shall identify the need for a directive. This may result from new legislation or Regulation, a change or development in Departmental policy, a change in technology, lessons learned, 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 participate in development of the directive.
  - (3) The Directive Development Manager and Directives System Manager shall develop a schedule for completion of major tasks; for example, preparation of the DMD and draft directive, review of each by Departmental Elements and contractors, preparation of cost impact estimates (if required), resolution of comments, and preparation, approval, and distribution of final directive.
  - (4) The Directive Development Manager shall develop the DMD for a new or revised Order or Manual using the format and outline provided in Attachment II-1. The DMD shall then be submitted to the Directives System Manager for editorial review in advance of coordination. Any changes made as a result of this review must be concurred in by the Office of Primary Interest.

- (5) Departmental Elements and contractors shall review the DMD to identify significant issues, comment on the need for and feasibility of implementing the proposed directive, suggest alternate approaches, and comment on the preliminary cost documentation. See Chapter III for details on the coordination and issue resolution process.
- (6) The Office of Primary Interest shall provide preliminary cost documentation on the DMD for each Order, Notice, or Manual with new, modified, or canceled requirements. This documentation shall contain the following:
  - (a) assumptions, cost drivers, cost methodology, and identification of requirements changes;
  - (b) a description of assumptions and rationale for no additional costs or insignificant costs on the DMD, which also constitutes a cost estimate. If no objections are raised during coordination of the DMD, no further action is required.

**Note: This requirement will not be implemented until approval and issuance of DOE G 251.1-2, COST ESTIMATING GUIDE.**

- (7) The Directive Development Manager, with editorial assistance provided by the Directives System Manager, shall prepare a draft directive and the initial cost impact estimate using input generated by the DMD. The Directive Development Manager shall solicit participation in development of these documents from Departmental Elements and contractors where appropriate.
- (8) The Directives System Manager's editorial review, conducted in cooperation with appropriate Departmental Elements (General Counsel, Program Offices, etc.), shall include examining the document organization and internal consistency, determining its compatibility with other directives and external Regulations, and ensuring that its provisions are clearly and succinctly stated. Prior to coordination, the Directive Development Manager from the Office of Primary Interest will review and agree upon changes made as a result of the editorial review. It shall then be distributed to Department Elements and contractors for review. (See Chapter III.)
- (9) Departmental Elements and contractors shall review the draft directive and provide comments to the Office of Primary Interest, which shall prepare the final draft for approval and provide feedback to the reviewers in accordance with Chapter III of this Manual.
- (10) The Office of Primary Interest is responsible for identifying requirements added, deleted, or modified by any new or revised Order, Manual, or Notice. This information will be issued along with the final directive to help implementing organizations understand the impact of the directive.

For directives of interest to the DNFSB, this information shall be presented as a crosswalk showing the disposition of existing requirements.

- 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) above may be omitted, subject to approval by the Directives System Manager.
- d. Guides. The process used for Orders and Manuals shall be used for Guides, with the exception that DMDs, cost impact information, and estimates are not developed for Guides.

### 3. CONTENT AND FORMAT REQUIREMENTS FOR DIRECTIVES.

- a. Policies. Policies shall address broad issues within the area of responsibility of the originator and should not contain specific requirements. Policies set the framework under which requirements are established. The format of Policies is at the discretion of the originator of the document, but should address the purpose, scope, and policy as a minimum. Advice on formatting a Policy statement is available from the Directives System Manager.
- 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 products or other benefits expected to be achieved by implementation of the directive shall be identified. Refer to Paragraph 1 of DOE O 251.1A, DIRECTIVES SYSTEM, dated 1-30-98, 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 intended to be applied to contractors, the universe of these contractors and subcontractors shall be described such that it is as small as possible.

In some situations, individual Departmental Elements may determine that exemption from requirements of a DOE Order, Notice, or Manual is appropriate. A description of the process for obtaining exemptions is included at Chapter VII.

- (b) Intended requirements for contractors shall be set forth in a Contractor Requirements Document (CRD), which shall be referred to in the Applicability paragraph. Contractor compliance with a CRD is contingent upon incorporation or reference in a contract. If intended requirements apply to specific functions or facilities, the directive should identify the function or facility. When the term “facility” is used, this paragraph must indicate if the term is intended to include contractors; if it does, the paragraph must describe the universe of these contractors.
- (4) Requirements. Matters that must be completed to achieve the directive’s purpose shall be written as requirements. Requirements must–
    - (a) have measurable or verifiable outcomes whenever possible and be focused on outcomes rather than methodology or procedures;
    - (b) allow for flexibility in implementation whenever possible to encourage the most cost-effective means of compliance;
    - (c) add value commensurate with the cost of their implementation;
    - (d) not repeat voluminous information from other sources (such as laws, Regulations, or other Orders) that can easily be referenced; and
    - (e) not be stated as responsibilities.
  - (5) Responsibilities. Accountability shall be assigned for requirements within DOE. Responsibilities should be described in terms of outcome rather than methodology or procedures.
  - (6) References. This section is optional and shall describe additional sources of information to assist in the implementation of the directive.
  - (7) Contact. The appropriate organization and telephone number shall be provided.
  - (8) Contractor Requirements Document. The CRD is the portion of an Order or Manual that identifies requirements that are intended to apply to contractors. The CRD may be incorporated into contracts without alteration and must be written with this in mind. Provisions of the CRD become actual contract requirements only upon incorporation into a contract. 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.

- (9) Definitions. The Directives System Glossary of Terms contains the terms and definitions as used in the internal Directives System documents. A definition section in an Order, Notice, or Manual is permissible when additional definitions are needed to understand requirements or communicate terms of art unique to the technical discipline of the directive. These additional definitions shall be included in the directive's definition section. The Office of Primary Interest is required to include all additional terms and definitions in the draft directive to facilitate coordination and meaningful notice and comment.

Critical terms and definitions for a health and safety Order, Notice, and Manual must be included in a directives definition section. Critical terms are those terms required for a common understanding of the directive. The Office of Primary Interest must include all critical terms and definitions in the draft directive to facilitate coordination and meaningful notice and comment. Glossary terms to be used in establishing safety or health requirements must be incorporated in the contract explicitly or by reference.

Additions and amendments to the Directives System Glossary of Terms must be coordinated with the Directives System Manager, who will update the Glossary as required. Management of the Directives System Glossary of Terms, final approval of technical content, and issue resolution shall be in accord with the provisions of DOE O 251.1A and this Manual for the development, review, coordination, and issuance of internal Directives System documents.

- c. Manuals. Manuals supplement other DOE directives 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. Manuals may include some guidance, but they are primarily a means of providing requirements more detailed than those appropriate to an Order. Intended contractor requirements from the Manual can be included in the CRD of the associated Order that the Manual supplements. Another option is to develop a CRD for the Manual.
- d. Guides. Guides may follow a more flexible format than that prescribed for other directives; the format should be designed to accommodate the content.
4. REVISIONS. Changes shall be made to a directive through complete revision or page changes, and those changes will be reflected in the draft directive. For ease of review and use, full-text changes are encouraged. However, in all cases a transmittal sheet must summarize content changes and include filing instructions as necessary.
- a. When a directive is substantially changed, it must be reissued. Each revision shall be assigned the original number and identified by a suffix capital letter.

- b. Minor changes to a directive may be issued as page changes. The directive's number shall not be changed, but on each changed page, the change number shall be shown at the right of the directive's number and the date of the page change shall be shown beneath the directive's number. On the front page of the directive, the change number and date of the page change shall be shown beneath the approved and review dates. If necessary, pagination is adjusted by adding letters to the page numbers (e.g., 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, a Manual, or a Policy.
  - d. Where feasible, changes to a directive will be identified by the 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.
5. CANCELLATIONS. The Office of Primary Interest in coordination with 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 in a Notice issued for the purpose of canceling one or more directives. The clause should incorporate the following language:

*The directives listed below are canceled. Cancellation of a directive does not, by itself, modify or otherwise affect any contractual obligation to comply with such a directive. Canceled directives that 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 directives.*

## ACCEPTABLE FORMAT FOR DIRECTIVE MANAGEMENT DOCUMENTS

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### ANNOUNCEMENT OF INTENT TO ISSUE A PROPOSED NEW (REVISED) DIRECTIVE

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#### DIRECTIVE MANAGEMENT DOCUMENT FOR

(PROPOSED NUMBER AND TITLE OF DIRECTIVE)

**PURPOSE OF PROPOSED DIRECTIVE.** Briefly describe the scope, state why the directive is being issued, and describe its intended benefits.

**APPLICABILITY.** Identify Departmental Elements and categories of contractors and contracts to which the directive is intended to apply. [Categories of contractors include management and operating (M&O), management and integrating (M&I), support service, environmental restoration, etc.; 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.

**OPERATIONAL IMPACT.** Summarize principal anticipated effects of the proposed directive on DOE Elements and contractors. Identify requirements, activities, reporting requirements, etc., that will be created or abolished and the anticipated implementation date.

**COST IMPACT.** Include preliminary cost documentation (e.g., assumptions, potential cost drivers). State that reviewers are encouraged to provide comments on the cost documentation and to suggest alternative means that are more cost effective. **(Note: This requirement will not be implemented until DOE G 251.1-2 is formally issued.)**

**RELATED DIRECTIVES.** Identify any other directives that will be prepared for this directive (e.g., Manuals, Guides, or Technical Standards and related documents).

**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.

**REFERENCES.** List related directives as references as needed.

## CHAPTER III

### COORDINATION AND ISSUE RESOLUTION PROCESS

1. INTRODUCTION. This chapter provides instructions on the coordination and issue resolution process for DMDs and draft directives.
2. RESPONSIBILITIES.
  - a. Offices of Primary Interest. Prepare DMDs and directives, resolve comments received from reviewers, and provide feedback to them prior to submitting a final draft directive to the Directives System Manager for issuance. Prior to the issuance of a directive, Offices of Primary Interest must concur in the final language (including proposed editorial changes and specific language implementing Directives Management Board decisions) contained in directives under their purview.
  - 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.
  - c. Directives System Manager.
    - (1) Coordinates the directives review process, provides editorial assistance, distributes draft directives for review, and transmits directives for final approval.
    - (2) Facilitates issue resolution between the Office of Primary Interest and reviewers.
  - d. Departmental Elements and Applicable Contractors review DMDs and draft directives and provide comments within established schedules.
3. COORDINATION AND ISSUE RESOLUTION PROCESS.
  - a. The Office of Primary Interest shall prepare the DMD 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. Any proposed changes made as a result of this review must be concurred in by the Office of Primary Interest.



- c. The Office of Primary Interest and the Directives System Manager shall identify the coordination distribution lists. The Directives System Manager shall establish goals of 60 days for review and comment and 60 days for issue resolution for draft directives. Normally, DMD goals are set for 30 days for review and comment and 30 days for issue resolution.
- d. The Directives System Manager shall distribute the DMD or the draft directive to Departmental Elements and appropriate contractors for comment. Comments will be categorized as “major issues” and “suggested comments.” A major issue concerns requirements or other provisions of the DMD or draft directive that would have a serious, adverse effect on mission accomplishment, economy, efficiency, policy, objectives, or other management concerns that should preclude issuance.
- e. Contractors shall return their comments to the cognizant Field Element. Departmental Elements shall submit their comments and those from their contractors to the Office of Primary Interest with an additional copy to the Directives System 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. Issues and comments received after the due date may not be considered until the next revision.
- f. The Directive Development Manager shall attempt to resolve all major issues with commenting organizations. To ensure that proposed changes do not raise new issues for other organizations, the Directive Development Manager shall provide the proposed changes to the draft to all organizations on the original coordination list. If a major issue cannot be resolved, the head of the Departmental Element that raised the issue shall forward that issue to the Directives System Manager for presentation to the Directives Management Board. Upon resolution of major issues, the Directive Development Manager shall verify resolution by providing a memo or resolution matrix to the Directives System Manager.
- g. The Directives System Manager shall attempt to resolve all issues related to Directives System operations. Major issues that cannot be resolved 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 organization shall prepare a paper in support of its position and present it to the Directives Management Board, which will render a decision.
- i. Before the directive is issued, the Directives System Manager shall determine the need for a final editorial review and provide the edited document to the Office of Primary Interest for final concurrence prior to transmittal to the Assistant Secretary for Human Resources and Administration for approval.

## **CHAPTER IV**

### **SUPPLEMENTAL DIRECTIVES**

When supplemental directives are needed, they 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 applicable 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 delete provisions in any applicable Policy, Regulation, Order, Notice, or Manual.

## CHAPTER V

### UNAUTHORIZED DIRECTIVES

#### 1. INTRODUCTION.

- a. This chapter describes a process for handling information that should be within the Directives System but is issued outside that System. Specifically, requirements that cross organizational lines but are not issued within the Directives System are considered unauthorized directives.
- b. The concern with unauthorized directives is that they—
  - (1) fail to receive appropriate evaluation by affected parties;
  - (2) often are not distributed to all affected or interested parties; thus they do not receive full evaluation, nor is there an adequate assessment of the effect of directives;
  - (3) over time, are ignored or forgotten because they are not in a structured system under which they may be retrieved; and
  - (4) may cause unintended technical, financial, or legal consequences.

#### 2. RESPONSIBILITIES.

- a. Departmental Elements and Contractors notify the Directives System Manager of documents that may improperly distribute information outside the Directives System.
- b. Directives System Manager reviews the document, determines if it contains material that should be included in the Directives System, and takes action as necessary to bring the document into the Directives System, as appropriate.

#### 3. HANDLING UNAUTHORIZED DIRECTIVES.

- a. If the document does not belong within the Directives System, the Directives System Manager shall take no further action other than to inform the reporting organization.
- b. If the document transmits information that should be included within the Directives System, 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 Office of Primary Interest may withdraw or modify the document.
- (2) The document may be proposed for conversion to a directive, following the process described in this Manual. If the subject of the directive is time-critical, the Office of Primary Interest may request that the Directives System Manager issue a Notice until a permanent directive is developed, coordinated, and issued.
- (3) If the reporting organization is dissatisfied with the proposed disposition, it may petition the Directives Management Board for resolution.

## CHAPTER VI

### DIRECTIVES REVIEW

1. INTRODUCTION. Each Policy, Order, and Manual shall be reviewed every 2 years to determine what action (i.e., cancellation, revision, or continuation) is appropriate. Each Policy, Order, and Manual will sunset/expire 4 years from date of issuance, except as provided in Paragraph 4 below, unless revised or continued by the Office of Primary Interest. Guides, which are not requirements documents, will not automatically expire, but will be reviewed if the Order, Manual, or Regulation they support is revised.
2. RESPONSIBILITIES.
  - a. Directives System Manager.
    - (1) Manages the Department's directives review process.
    - (2) Advises the Office of Primary Interest that a directive is scheduled for review prior to the 2-year review date, makes a user survey available to Departmental Elements and applicable contractors, and processes all revisions, cancellations, and extensions.
    - (3) Advises the Office of Primary Interest that a directive is scheduled to sunset/expire.
    - (4) Distributes a quarterly report to all Departmental Elements listing directives that have been reviewed, revised, continued without revision, canceled, or allowed to sunset/expire.
  - b. Offices of Primary Interest.
    - (1) Determine, based on the survey mentioned above, whether the directive is to be revised.
    - (2) Revise the directive, if necessary, prior to sunset/expiration.
3. REVIEW AND SUNSET PROCESS.
  - a. 2-Year Review. Policies, Orders, and Manuals will identify a review date on the cover page of the directive. This date is 2 years from issuance of the directive. The need to continue or revise the directive will be determined through a survey that will be conducted on or about the review date. After the survey is conducted, the Office of Primary Interest and the Directives System Manager shall review the results and determine whether the directive needs to be revised, canceled,

continued without revision, or allowed to expire on its expiration date. If the survey indicates that revisions are required, the Office of Primary Interest shall proceed with the revision, including development of a DMD and cost impact estimate.

- b. Sunset/Expiration. Except as provided in Paragraph 4 below, the cover page of Policies, Orders, and Manuals will also identify an expiration date. This date is 4 years from the date of issuance. Directives will be canceled on that date unless revised or continued by the Office of Primary Interest.

4. EXCLUSIONS.

- a. Policies, Orders, and Manuals related to safety and health shall not automatically be reviewed or revised after two years or sunset/expire. These directives are identified by an asterisk (\*) on the DOE Checklist and do not contain a sunset/expiration date.
- b. DOE O 251.1A and DOE M 251.1-1A shall not automatically expire after the given 4-year period but shall remain in effect until superseded or replaced.

## CHAPTER VII

### EXEMPTIONS

1. GENERAL PROVISIONS. An exemption under the Directives System is a release from a requirement(s) included in a DOE Order, Notice, or Manual that has been granted to a Departmental Element by the appropriate DOE official. The process outlined below is used in cases when a DOE official determines that a specific requirement(s) in a directive is not appropriate for an individual office or a facility under the responsibility of the office, and where that directive does not specify an alternative exemption process. This process is intended to provide a means to communicate, provide feedback, and receive any necessary approvals in cases where a requirement contained in an Order, Notice, or Manual is not appropriate.
2. REQUIREMENTS FOR FEDERAL EMPLOYEES. Exemption requests from a requirement(s) applicable to Federal employees can be prepared using the process described in Paragraph 4 below, at any point following approval of an Order, Notice, or Manual.
3. INTENDED REQUIREMENTS FOR CONTRACTORS. Requirements contained in DOE directives (e.g., Orders, Notices, and Manuals) are made applicable to contractors by incorporation in contracts as requirements. Contractual requirements based on directives, and any modifications to those requirements, are governed by specific contract terms and conditions. When a contractor or DOE official determines that an exemption, deviation, or variance (“exemption”) from one or more specific requirements is needed, the exemption process established for that contract shall be followed. When the exemption is from a directives-based contract requirement, the process shall include the following directives exemption process unless superseded by an exemption process in a specific directive.
4. EXEMPTION PROCESS.
  - a. Approving Official. Unless otherwise stated in a directive, exemptions from DOE Orders, Notices, and Manuals are approved by the following:
    - (1) Heads of Departmental Elements (which include Operations and Field Office Managers) for activities and facilities under their direction except as provided in Paragraph 4a(2).
    - (2) For environment, safety and health requirements for Category 1 Hazard Nuclear Facilities, exemptions are approved by the Cognizant Secretarial Officer. This authority may be delegated to other heads of Departmental Elements.

- b. Approval Process. The Approving Official shall—
- (1) provide notification of a proposed exemption approval to the Cognizant Secretarial Officer (unless the Cognizant Secretarial Officer is the Approving Official) and the Office of Primary Interest at least 30 calendar days prior to final approval to ensure consistency with Departmental policy and identification of any significant concerns;
  - (2) not issue a final approval granting an exemption unless—
    - (a) the Cognizant Secretarial Officer and the Office of Primary Interest concur with the proposed exemption decision or
    - (b) the 30-calendar-day review period passes without objection or request for additional information from the Cognizant Secretarial Officer and the Office of Primary Interest.
- c. Preparation of Exemption Requests. Requests for exemptions should address the following information, as appropriate:
- (1) Site or facility for which an exemption is being requested.
  - (2) Reference to the requirements for which exemption is sought.
  - (3) Identification and justification of the acceptance of any additional risks that will be incurred if the exemption is granted.
  - (4) Benefits to be realized by providing the exemption.
  - (5) Indication of whether the exemption being requested is temporary or permanent, and for temporary exemptions, indication of when compliance will be achieved.
  - (6) Identification of other pertinent data or information used as a basis for obtaining an exemption.
  - (7) Requests for exemptions to environment, safety, and health requirements shall also address the following:
    - (a) A description of any special circumstances that warrant the granting of an exemption, including whether—
      - 1 application of the requirement in the particular circumstances would conflict with another requirement;



- 2 application of the requirement in the particular circumstances would not achieve, or is not necessary to achieve, the underlying purpose of the requirement;
  - 3 application of the requirement in the particular circumstances would not be justified by any safety and health benefit;
  - 4 the exemption would result in a health and safety benefit that compensates for any detriment that would result from granting the exemption, or
  - 5 there exists any other material circumstances not considered when the requirement was adopted for which it is in the public interest to grant an exemption.
- (b) Steps to be taken to provide adequate protection of health, safety, and the environment, and a statement that adequate protection will be provided.
- (c) A description of any alternative or mitigating actions that have or will be taken to ensure adequate safety and health and protection of the public, the workers, and the environment for the period the exemption will be effective.
- d. Approval Criteria. For all exemption decisions, the approving official may grant an exemption only if the exemption—
- (1) is not prohibited by law;
  - (2) would not present an undue risk to public health and safety, the environment, or facility workers; and
  - (3) is warranted under the circumstances.

## **DIRECTIVES NUMBERING SYSTEM AND SUBJECT CLASSIFICATION**

### **1. DIRECTIVES NUMBERING SYSTEM.**

- a. Numbering Directives. All Policies, Orders, Notices, Manuals, and Guides have a letter identifying the type of document, a three-digit number identifying the subject matter category, and a suffix showing the sequence within that subject matter category and the revision level.

There are two types of Notices:

- (1) those Notices that stand alone and have a three-digit number of their own (e.g., DOE N 510.1, CONFLICTING FINANCIAL INTERESTS) and
  - (2) those Notices that are associated with an Order (e.g., DOE N 251.28, CANCELLATION OF DIRECTIVES).
- b. Examples. The following examples show how the numbering system works for various documents.
- (1) Policies. 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. Subsequent revisions will be “.1A,” “.1B,” etc.
  - (2) Orders. In DOE O 151.1, COMPREHENSIVE EMERGENCY MANAGEMENT SYSTEM, “O” stands for Order, “151” is the subject matter category (Public Affairs in Emergencies), and “.1” indicates that this is 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 is the first of subsequential extensions to the Notice supplementing that particular Order.
  - (4) Manuals. In DOE M 251.1-1A, 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, “-1” indicates that this is the first Manual supplementing that particular Order, and A indicates a revision to that Manual. 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 251.1-1B.

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

2. SUBJECT CLASSIFICATION. Departmental directives are numbered as described below. The Directives System Manager will assign a number for each individual directive.

### **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 Intragovernmental 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**

- 200 Information Management. Includes information management.
  
- 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 Scientific and Technical Information Management
  - 242 Forms Management
  - 243 Records Management
  
- 250 Directives System. Includes all aspects of how DOE implements its Directives System.
  - 250 General
  - 251 Directives System
  - 252 Technical Standards

## **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 Employee Training
  - 362 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 nonnuclear facilities.
  - 420 General
  - 421 Safety Analyses
  - 422 Joint DOE/DOD Nuclear Weapon System Safety
  - 423 Technical Safety Requirements
  - 424 Unreviewed Safety Questions
  - 425 Startup and Restart of Nuclear Facilities
  
- 430 Life-Cycle Facility Operations. Includes design/engineering, construction, maintenance, operations, waste management, decontamination and decommissioning (D&D), and environmental restoration (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 Policy Act
  - 452 Nuclear Explosive and Weapon Surety
  
- 460 Packaging and Transportation. Includes transportation of hazardous and nonhazardous 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 Work for Others
- 482 Technology Transfer

## **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 Contracting Officials and Conflicts of Interest
  - 542 Competitive Requirements in Contracting
  - 543 Indirect Cost Rate Responsibilities
  - 544 Priorities and Allocations Program
  - 545 Funds-Out Interagency Agreements
  - 546 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 Library Services
  - 572 Audiovisual and Exhibits Management
  - 573 Mail Management
- 580 Property Management. Includes personal and real property management, acquisition, and disposition.