



U.S. Department  
of Transportation  
Maritime  
Administration

## MANUAL OF ORDERS

## MARITIME ADMINISTRATIVE ORDER

REVOKES

MAO 200-1, dtd.  
11-3-73

NO.

200-1

EFFECTIVE DATE

December 31, 1984

SUBJECT

### INTERNAL DIRECTIVES SYSTEM

#### Section 1. Purpose:

This order establishes the internal directives system for the Maritime Administration. It prescribes procedures and responsibilities for the development, preparation, approval, and issuance of formal directives to govern the internal management of the Maritime Administration.

#### Section 2. Related Directives:

41 CFR 101-11.209, Directives Management  
DOT Order 1100.60, Department of Transportation Organization Manual  
DOT Order 1320.16A, Directives System  
DOT Order 1320.18, Issuances of Other Federal Agencies Applicable  
to the Department of Transportation  
DOT Order 1321.2, Department of Transportation Directives System

#### Section 3. Directives System:

3.01 The following issuances shall comprise the directives system for internal management of the Maritime Administration:

- Maritime Administrative Orders (MAOs)
- Maritime Administration Manuals
- Maritime Administration Supplements (i.e., to DOT Directives)
- Maritime Bulletins.
- Region Issuances
- U.S. Merchant Marine Academy Issuances

3.02 These directives shall be the official source of organization structure, policies, procedures, action requirements, assignment of functions and responsibilities, delegations of authority, and other standardized information needed for the effective administration and operation of the Maritime Administration. No other directives are authorized for this purpose.

3.03 All directives shall be reviewed on an on-going basis to determine the need for and adequacy of current directives, and to identify situations where new directives are required.

3.04 Maritime Administration regulations applicable to the public are prescribed in MAO 200-2, "Regulations of the Maritime Administration, the Maritime Subsidy Board, and the National Shipping Authority," and are published in the Code of Federal Regulations.

3.05 For directives issued under authority of this order, the following definitions apply:

Concurrence means obtaining the approval of others before a proposed course of action can be taken.

Coordination means providing information to others to keep them informed of proposed actions.

Consultation means conferring with others to seek advice and to discuss a proposed plan of action.

Section 4. Authorized Issuances:

4.01 Maritime Administrative Orders (MAOs):

- 1 Maritime Administrative Orders are agency directives which are issued to establish organization structure, delegate authorities, assign functions and responsibilities, and prescribe policies and procedures which affect two or more offices. Collectively, MAOs are referred to as the Manual of Orders.
- 2 The Maritime Administrator (the "Administrator"), or the Deputy Maritime Administrator (Deputy Administrator) in the absence or preoccupation of the Administrator, will issue MAOs to:
  - (1) Establish the basic organization of the Maritime Administration, at the Division level and above;
  - (2) Assign functions and redelegate authorities to Associate Administrators, the Chief Counsel, Independent Office Directors, Region Directors, Superintendent, U.S. Merchant Marine Academy, and other officials; and
  - (3) Prescribe policies and procedures to govern the overall operation of the Maritime Administration.
- 3 The Associate Administrators are authorized to issue MAOs, with the concurrence of the Associate Administrator for Policy and Administration, to:
  - (1) Describe internal organization structures and functional assignments to offices under their jurisdiction, and to redelegate authorities to subordinate officials; and
  - (2) Prescribe policies and procedures applicable to two or more offices under their jurisdiction.
- 4 The Associate Administrator for Policy and Administration is authorized to issue MAOs which implement within the Maritime Administration Governmentwide or Departmentwide administrative programs or requirements.

## 4.02 Manuals:

- 1 Manuals are compilations of detailed and extensive instructions on selected subjects and are applicable to a limited audience. Establishment of each manual shall be authorized by an MAO which shall state the purpose, scope, and responsibilities for issuance and maintenance of the manual. Manuals have the force and authority of the orders, regulations, or other directives that they implement.
- 2 Officials assigned responsibility for manuals are authorized to issue the manual or changes thereto with the concurrence of the Director, Office of Management Services and Procurement.

## 4.03 Supplements:

- 1 Supplements clarify or otherwise adapt to any special conditions or requirements of the Maritime Administration policies or instructions set forth in directives issued by higher levels of authority, e.g., Maritime Administration Supplements to the Department of Transportation's Travel Manual. Supplements are issued in a form which permits filing with the corresponding pages of the directive being supplemented. Supplements have the force and authority of the orders, regulations, or other directives that they implement.
- 2 Officials assigned responsibility for specific functions may issue Supplements to Department of Transportation directives which are applicable to these functions. Each such Supplement shall have the concurrence of the Director, Office of Management Services and Procurement.

## 4.04 Maritime Bulletins:

- 1 Maritime Bulletins are directives of temporary duration issued to provide information or instructions requiring immediate attention. Collectively, Maritime Bulletins are referred to as the Manual of Bulletins.
- 2 The Administrator shall issue Maritime Bulletins which announce policies, organizational changes, key personnel designations, or other major actions.
- 3 The Associate Administrator for Policy and Administration shall issue Maritime Bulletins on new or revised procedures, and information of a routine or temporary nature.
- 4 Associate Administrators, the Chief Counsel, and independent Office Directors shall issue Maritime Bulletins which designate personnel to serve in an acting capacity in key positions (Division level and above) during the absence of the incumbents for periods of more than three weeks.

4.05 Region and U.S. Merchant Marine Academy Issuances: Region Directors and the Superintendent, U.S. Merchant Marine Academy shall establish and maintain a system of directives necessary to implement Maritime Administration and Departmental directives and to provide instructions and other information to personnel assigned to their respective organizations. Such directives shall comply with the general formatting prescribed herein.

Section 5. Responsibilities:

5.01 Office Directors or staff officials responsible for subject matter areas covered in the directives system shall:

- 1 Prepare proposed directives, or revisions thereof, pertaining to their area of responsibility;
- 2 Submit proposed directives to the Office of Management Services and Procurement for review and processing for staff concurrence; and
- 3 On an on-going basis or as circumstances warrant, review existing directives for adequacy, applicability, and changing requirements.

5.02 The Office of Management Services and Procurement shall be responsible for management of the system for the preparation, numbering, staff concurrence, retention and publication of the internal directives issued in Washington, D.C. This office shall:

- 1 Provide advice and instructions on the format, content, and presentation of directives material; review and approve all proposed new or revised directives for adequacy, clarity, consistency with other issuances, and conformance with established policies, procedures, functional assignments, and delegations of authorities; and
- 2 Coordinate obtaining appropriate staff concurrences; arrange for printing and distribution of directives; prescribe standard lists for distribution of directives; maintain a supply of current directives for issuance, as necessary; and periodically issue updated Table of Contents and Subject Index of the Manual of Orders and the Table of Contents of the Manual of Bulletins.
- 3 Maintain the central reference file of internal directives available to all employees in Washington, D.C.

Section 6. Delegations of Authority:

6.01 When MAOs or other directives authorize further redelegation of authority, such redelegations shall be in writing to the official concerned, with a clear statement of the authority and any limitations imposed. A copy of each such redelegation shall be filed with the office copy of the appropriate MAO or other directive.

6.02 In exercising the authorities delegated, the following principles shall apply:

- 1 All officials delegated authority, whether in directives or otherwise, are fully accountable for the effective performance of their assigned functions, for adherence to applicable laws, regulations, and policies; and for all actions taken in the exercise of any such authority.
- 2 Directives or other documents delegating authority will not prescribe any procedure which makes such authority contingent on action of another official. However, this does not relieve the delegates of responsibility for:

- (1) Clearing with their superiors or the Administrator any matter or question which significantly deviates from established policy; sets a precedent for future actions of a similar type; involves an important decision or interpretation thereof, concerning which differences of opinion exist either within the organization or with others; or involves any other matter which in the judgment of the officials should be acted on by their superiors or the Administrator;
  - (2) Clearing all legal questions and legal documents with the Office of the Chief Counsel; and
  - (3) Obtaining budgetary, fiscal, personnel, procurement, and technical clearance of other types from program and staff officials.
- 3 All delegations of authority are subject to limitations and conditions set forth in other directives on specific subjects, e.g., travel, procurement, security, etc.

Section 7. Preparation, Numbering, and Distribution of Directives:

Appendixes I through III prescribe requirements for preparing, numbering, distributing, and maintaining directives.

  
H. E. SHEAR  
Maritime Administrator

## Requirements for the Preparation of Directives

### A. General

- 1 Directives shall be issued in accordance with the provisions of this order, and shall be consistent with organization and functions/ assignments, delegations of authority, and policies and procedures established by the Department of Transportation and the Maritime Administrator.
- 2 The use of gender-specific language shall be avoided in directives.

### B. Functional Statements

- 1 Functional statements in directives assigning responsibility or directing action to be taken shall be listed in simple, imperative form using the word "shall," and shall be confined to definite, significant, and concrete activities.
- 2 These statements shall show what is done rather than how it is done, leaving out procedural details and descriptive adjectives as much as possible.
- 3 These statements shall describe only substantive activities, not those that are common to all organizational elements, such as supervising work of subordinates, coordinating work with other offices, maintaining files and records, making reports, etc. Unless these and similar activities common to all offices are necessary for clarification or are central to the element's activity, they shall not be listed.

### C. Delegations of Authority


- 1 Insofar as possible, authority shall be delegated commensurate with the responsibilities assigned in the functional statements. When necessary to limit delegations, the limitations shall be listed as specific exceptions to the authority required to carry out all the functions assigned to an official.
- 2 For each organizational element, functional statements, the delegation of authorities, and limitations on authorities shall as a general rule be included in the same order.

### D. Format for Maritime Administrative Orders (MAOs)

The basic order, MAO 200-1, illustrates the format and the system for numbering sections and subsections, to be followed in preparing MAOs.

### E. Format for Maritime Bulletins

Figure 1, page 2 of this appendix, illustrates the format for Maritime Bulletins.

 U.S. Department of Transportation <b>Maritime Administration</b>	<h1>BULLETIN</h1>	No. 200-1-85
		Effective Date January 15, 1985
		Expiration Date January 16, 1986
		Revokes Maritime Bulletin 200-1-81
		MAO Reference MAO 200-1
<b>TO:</b> ASSOCIATE ADMINISTRATORS, OFFICE DIRECTORS, REGION DIRECTORS, SUPERINTENDENT, U.S. MERCHANT MARINE ACADEMY, AND OTHER OFFICIALS		
<b>SUBJECT:</b> Rescission of Maritime Bulletins		
<p>Maritime Bulletins shall be prepared using this format.</p> <p>All information above the "TO:" line will be completed by the Office of Management Services and Procurement.</p> <p>Paragraphs generally will not be numbered.</p> <p style="text-align: right;">(Typed signature) (Title)</p>		

## Numbering of Directives

### A. Maritime Administrative Orders

- 1 Maritime Administrative Orders (MAOs) shall be numbered by the Office of Management Services and Procurement, in accordance with a numbering system designed to:
  - (1) Group together in discrete sections in Part I of the Manual of Orders all the orders on the organization, functions, and delegations of authority for all elements of each major organization component. This part will provide, in effect, an organizational manual of the Maritime Administration;
  - (2) Group together in discrete sections in Part II of the Manual of Orders all the orders relating to the same subject area (e.g., the "700" series includes all MAOs on personnel activities) and thus facilitate use of the directives system; and
  - (3) Allow for the numbering of additional directives, as required within each subject area, in conformance with the principles described in paragraphs (1) and (2) above.
- 2 Amendments to MAOs will be dated and serially numbered beginning with the number 1, e.g., "MAO 200-1, Amendment 1."

### B. Manuals

Manuals will not be assigned numbers, but will be controlled by title and date of issuance. Amendments to manuals will be dated and serially numbered beginning with the number 1, e.g., "Maritime Administration Field Construction Office Manual" dated January 1, 1982, Amendment 1, dated January 1, 1985.

### C. Supplements

Only one supplement will be issued to a directive from another organization; therefore, supplements are not numbered. However, each change to a supplement shall be issued by a numbered and dated transmittal. For example:

Correspondence Manual MARAD Supplement, Transmittal 1, dated January 1, 1982.

### D. Maritime Bulletins

Maritime Bulletins shall be numbered by the Office of Management Services and Procurement according to subject matter consistent with the numbering system established for the Manual of Orders. For example, "350-1-85" would be assigned to the first bulletin to be issued on official travel in calendar year 1985. Each number reflects the subject series, the chronological order of the bulletin within that series and year, and the calendar year in which the bulletin was issued.



E. Region and U.S. Merchant Marine Academy Issuances

Region Directors and the Superintendent, U.S. Merchant Marine Academy, shall develop numbering systems for their directives and shall establish a control point for issuance of such directives.

Distribution and Maintenance of Directives

Maritime Administrative Orders, Manuals, Supplements, and Bulletins shall be distributed to principal operating and administrative officials, or to employees, in accordance with established distribution lists. Applicable directives shall be circulated among concerned employees, and then filed for future reference.

A Table of Contents and a Subject Index of the Manual of Orders and a Table of Contents of the Manual of Bulletins shall be issued periodically. Each file of the Manual of Orders or Bulletins shall be checked against the applicable table to ensure receipt of required directives. The Table of Contents shall be kept current between revisions by pen-and-ink insertions or changes as directives are issued, revised, or revoked.

Requests for changes in copies of directives to be distributed to an office should be submitted to the Office of Management Services and Procurement. Filing dividers, appropriately numbered, and extra copies of current directives are available from the Office of Management Services and Procurement, in Washington, D.C.