

U.S. Department of Energy

OAK RIDGE OPERATIONS OFFICE

NOTICE

ORO N 251.1

Date: 10-31-95

SUBJECT: OAK RIDGE DIRECTIVES SYSTEM

1. PURPOSE. This Order relates to DOE O 251.1, DIRECTIVES SYSTEM, dated October 16, 1995, and describes implementation of the directives system within Oak Ridge Operations (ORO). It assigns responsibilities, describes ORO participation in the development of DOE-wide directives, defines the types of local directives used within ORO, and prescribes the process for their development and issuance.
2. CANCELLATION. This document cancels and replaces ORIG 1321.1B, OAK RIDGE OPERATIONS OFFICE MANAGEMENT DIRECTIVES SYSTEM, dated December 19, 1992.
3. APPLICABILITY. The provisions of this document apply to ORO organizations.
4. RESPONSIBILITIES.
 - a. Assistant Manager for Administration (AMA).
 - (1) Approves ORO directives, except changes thereto that are approved in accordance with subparagraph b(4) below.
 - (2) Decides whether ORO will challenge a contractor appeal to the Directives Management Board concerning imposition of additional requirements through the ORO directives system.
 - (3) Approves ORO comments on Directives Management Documents and draft DOE directives. Decisions to take unresolved major issues to the Directives Management Board must be cleared with the Manager or Deputy Manager.
 - b. Leader, Directives Management Group (DMG).
 - (1) As the ORO Directives System Manager, establishes and updates systems, processes, and procedures affecting the ORO directives system.
 - (2) Concurs in the determination of need or lack of need for ORO directives, updates, and revisions, and assists Divisions of Primary Interest in developing ORO directives that conform to the objectives and requirements of this Order prior to forwarding them for approval.

- (3) Coordinates ORO and contractor review of draft ORO directives, ensures that comments are considered and dispositioned, and prepares directives for final approval.
- (4) Approves minor changes to directives such as updating organizational nomenclature, effecting minor editorial clarifications, and correcting typographical, printing, or assembly errors.
- (5) Distributes DOE and ORO directives, and develops and maintains a directives distribution and control system that provides for electronic and paper distribution of directives.
- (6) Manages the sunset review process by which ORO directives are reviewed biennially for accuracy and sufficiency.
- (7) Coordinates staff review of Directives Management Documents and draft DOE directives, including Policy Statements, Orders, Manuals, Notices, Guides, DOE Technical Standards, and Price-Anderson Rules (Code of Federal Regulations); coordinates resolution of conflicting positions; and consolidates comments for signature of the AMA.

c. Divisions of Primary Interest (DPIs).

- (1) Determine, subject to concurrence of the DMG, whether an OR directive or revision is needed, and, if so, prepare a draft that conforms to the requirements of this Notice.
- (2) Prepare justifications and cost analyses for new requirements when requested by the DMG.
- (3) Review existing directives for which they are responsible to ensure they are current; submit requests for cancellation, revisions, or recertifications of accuracy to the DMG as necessary.
- (4) Resolve comments from reviewers and provide feedback to them on major issues prior to preparation of a final draft directive.

d. Principal Staff.

- (1) Provide comments to the DMG on draft OR directives in a timely manner.

- (2) Provide the DMG with directives distribution requirements for DOE personnel and contractors under their jurisdiction.
- (3) Review draft DOE directives for operational and cost impact, clarity, and consistency with related directives, and provide comments to the DMG in sufficient time to allow for consolidation and coordination of comments before Headquarters due dates.

5. REQUIREMENTS AND PROCEDURES.

a. Types of Oak Ridge Directives.

- (1) Oak Ridge Orders typically, but not always, relate to a specific DOE directive. They assign responsibility and accountability for carrying out requirements of the DOE directive, define procedures for carrying out work within Oak Ridge Operations, and, where appropriate, identify requirements to be observed by contractors. They also apply to the Office of Scientific and Technical Information in those functions where ORO provides services to that organization.
- (2) Oak Ridge Notices also typically relate to a specific DOE directive and serve the same purpose as an OR Order. They are used to transmit time-limited information or when immediate issuance without full coordination is required. They are also used to cancel OR directives. Unless extended through the issuance of an additional OR Notice, they expire no later than 1 year from issuance.
- (3) Oak Ridge Manuals supplement OR Orders when it is necessary to establish detailed requirements and procedures that exceed 10 pages in length; otherwise, that information is included in the OR Order.
- (4) Oak Ridge Implementation Guidance (ORIG) is an OR directive that was issued between June 1991 and October 1995. ORIGs are being replaced by OR Orders.

b. Oak Ridge Directives Numbering System.

- (1) OR Orders and Notices that relate to a specific DOE Policy Statement, Order, Manual, or Notice will be assigned that number. They will also have a letter suffix to denote revisions.

- (2) OR Manuals are tied to the number of the OR Order they supplement rather than to any existing DOE Manual in the same subject area.
- (3) OR Orders and Notices that do not correlate to a particular DOE directive, or that correlate to a DOE Rule, will use the standard DOE three-digit subject classification code used by DOE Orders, followed by a dot, the letter X, a sequential number, and a letter to indicate the revision level. For example, OR O 250.X1A, ORO Standards Management Program, is the first revision of the first stand-alone ORIG issued in the 250 series.

c. Directives Development Process.

(1) OR Orders and Manuals.

- (a) The DPI, in coordination with the DMG, determines the need for a new or revised directive and establishes a schedule for completion of a draft.
- (b) The DPI prepares a draft version of the directive or revision in accordance with the format specified in paragraph 5d below. The DPI then submits an electronic copy of the package formatted in WordPerfect to the DMG, including a brief justification and impact analysis for requirements to be imposed on contractors by ORO.
- (c) The DMG analyzes the draft directive by examining its organization and internal consistency, verifying its compatibility with other directives and external regulations, and ensuring that its provisions are clearly and succinctly stated. The DMG shall work with the DPI until both organizations are satisfied with the draft.
- (d) The DMG transmits the draft directive and impact analysis, if applicable, to appropriate ORO and contractor organizations, which shall have at least 30 days for review and comment.
- (e) Reviewers prepare "major issues" and "suggested comments" thereon, using the definitions in DOE O 251.1, Chapter III, paragraph 3d. If the DMG receives no comments or requests for additional time by the identified response date, the reviewing organization is assumed to have no major issues with the directive.

- (f) The DPI and DMG shall review all comments and resolve those identified as major issues. Issues will be raised to whatever level of management is necessary to reach a decision.
 - (g) The DMG will assist the DPI to prepare a final directive that incorporates accepted comments, which it then forwards to the AMA for approval.
 - (h) The DMG reproduces and distributes the approved directive in accordance with approved distribution lists.
- (2) OR Notices. The process described above for Orders and Manuals shall be used for OR Notices where feasible. However, since Notices may need to be issued more quickly, some steps may be omitted, subject to DMG approval. Material of a continuing nature issued as a Notice because of time constraints will be entered into editorial analysis and coordination at the same time it is issued for immediate use, and will be reissued as an OR Order as soon as the coordination process is complete.
- d. Content and Format Requirements for OR Directives.
- (1) Compatibility with DOE Directives. OR Orders, Notices, and Manuals must not contradict or ignore provisions in any applicable DOE Policy Statement, Regulation, Order, Notice, or Manual, unless an exemption has been formally granted. In this case, the date of the exemption approval must be indicated in the OR directive. This does not preclude inclusion of additional requirements although the benefit, impact, and cost of such requirements should be carefully considered.
 - (2) OR Orders. The following standard paragraphs will be used for each Order in the sequence given below. If a particular paragraph does not apply, enter "None."
 - (a) Purpose. This paragraph states why the Order is being issued. It also tells whether the Order stands alone or correlates to a DOE directive. Refer to paragraph 1 of OR O 251.1 for an example.
 - (b) Cancellation. This paragraph identifies all directives or parts of directives being canceled. Directives are identified by number, title, and date of the directive; section and paragraph numbers are noted if only a portion of the directive is being canceled.

- (c) Applicability. This paragraph identifies ORO organizations, other DOE organizations, if any, and contractors to which the Order applies.
- (d) Responsibilities. This paragraph identifies responsibilities for DOE organizations using concise declarative statements, without excess detail. Officials assigned responsibilities shall be listed in the following order: Manager, Deputy Manager, Assistant Managers, the Division of Primary Interest, other Divisions with assigned responsibilities, Principal Staff, Contracting Officers/Contracting Officers' Representatives, and others.
- (e) Requirements and Procedures. This paragraph contains requirements ORO is imposing on itself and the procedures by which compliance with requirements is to be achieved. Processes shall be described in sequential steps at a level of detail appropriate to the intended audience. If this section is more than 10 typed pages, the material will be incorporated into a Manual attached to the Order, and the Manual will be referenced in this paragraph. Material included in a DOE directive or external requirement may be referenced but must not be repeated in this section.
- (f) References. This paragraph lists DOE directives, other OR directives, laws, Regulations, and other documents covering closely related material that are referenced in the OR Order or that provide additional information to assist in implementation of the OR Order. Referenced documents are listed by number, title, and date of issuance. If the relationship of the referenced document to the subject matter of the OR Order is not clear, an explanatory sentence is also included. Referenced documents are not requirements merely because they are listed in this section.
- (g) Definitions. Generally, terms used in the directive are defined in the text or are common usages included in standard dictionaries. Occasionally, terms used have a specific meaning or must be defined to ensure adequate understanding and implementation of the document. Such terms are included and defined in this section.
- (h) Contractor Requirements Document (CRD). The CRD identifies tasks that contractors are required to perform and the universe of subcontractors to which the prime contractor is to flow down requirements. Instructions for application of the CRD to a contractor is included in the Applicability paragraph.

- (i) Attachments.
 - (1) Contractor Requirements Documents.
 - (2) Manuals. List by title and number.
 - (3) Appendixes. List by letter designation. Appendixes should not exceed several pages in length. Sample forms, reference lists, and definition lists are examples of appendixes.
- (3) OR Manuals. Manuals are not stand-alone documents; they are attachments to OR Orders prepared when the requirements and procedural information in the Order exceeds 10 pages. Each manual must have a table of contents and may be divided into chapters.
- (4) OR Notices. Several types of material may be included in a notice.
 - (a) Time-limited material such as information on pilot programs or the conduct of short-term projects. For this type of Notice, the material may be presented in whatever format is appropriate.
 - (b) Material that needs to be distributed quickly, without full editorial analysis and coordination with all parties that may be affected by the material. In this case, the Notice typically follows the format and content requirements for OR Orders, unless the DMG agrees to an alternate approach.
 - (c) Notification that an OR directive has been canceled. This type of Notice is originated by the DMG using a standard format.
- e. Exemptions. For information on processing and approval of exemption requests, see OR O 250.X1A, ORO STANDARDS MANAGEMENT PROGRAM.
- f. Revisions. Changes are made to directives through complete revision or page changes. A transmittal sheet must summarize content changes and include filing instructions as necessary.
 - (1) When a directive is substantially changed (more than half the pages contain changes), it must be reissued as a complete revision.

- (2) Changes to an OR Order or OR Manual that involve fewer than half the pages shall be issued as page changes. Each changed page will contain the change number and date of the change beneath the directive's number.
 - (3) Orders and ORIGs issued prior to January 1992 may not be modified through a page change. These documents must be reformatted as a revision.
 - (4) OR Notices cannot be revised through page changes. They must be reissued in their entirety.
- g. Cancellations. The DPI and the DMG must approve the cancellation of an OR directive. A directive shall be canceled by citation in the cancellation section of another directive or by a Notice issued for the purpose of canceling one or more directives.
- h. Unauthorized Directives.
- Any ORO or contractor employee may request the DMG to determine if a document contains directives-type material issued outside the directives system. If the document was originated in ORO, the DMG will work with the originator to determine if the document truly contains directives material and if so, to cancel the document or capture the information in an OR directive. If the document was originated in Headquarters, the DMG will refer the issue to the DOE Directives System Manager.
- i. Sunset Review. ORO Orders and Manuals shall be reviewed every 2 years to determine whether cancellation, revision, or continuation is appropriate. If not canceled, revised, or formally certified for continuation, the directive will automatically expire on the fourth anniversary of its issuance.
- (1) The DMG sends a quarterly notice and sunset review form to the DPI for each directive under its jurisdiction where more than 2 years has passed since the last revision.
 - (2) Upon determining whether the directive should be canceled, revised, or recertified as still accurate and necessary, the DPI returns the completed form to the DMG. If the directive is to be revised, the DPI provides a proposed date for completing and forwarding to the DMG a draft revision.

- (3) The DMG shall distribute a quarterly report to all ORO and M&O contractor elements listing directives that have been reviewed, canceled, revised or scheduled for revision, or recertified.

j. DMDs and Draft DOE Directives.

- (1) The DMG receives DMDs and draft DOE directives for coordination and determines which organizations will be asked to comment.
- (2) Organizations forward comments to the DMG and recommend which comments should be classified as major issues or suggested comments. (Criteria for these categories are given in DOE M 251.1-1, Chapter III, paragraph 3d.) If comments are more than 2 pages, the commenting organization also provides an electronic copy to the DMG.
- (3) The DMG analyzes comments for clarity and consistency, resolves differences among organizations, and prepares a consolidated reply that represents ORO's position on the draft directive. Contractor comments are included in the package along with ORO's position on those comments.
- (4) The DMG forwards the package to the AMA for approval. Thereafter, the DMG forwards the signed comment package to Headquarters and sends copies to commenting organizations and the DPI.
- (5) The DMG coordinates resolution of major issues with Headquarters, provides copies of any written comment resolution packages to commenters, and maintains files of draft directives, comments made, and responses received.

6. REFERENCES. OR 250.X1A, ORO Standards Management Program, dated July 26, 1995 (formerly ORIG 1300.X1A). This document contains information on the processing of exemption requests for DOE directives and the process by which directives and directives requirements are made applicable to contractors.

7. DEFINITIONS.

- a. Directives include DOE Policy Statements, Orders, Notices, Manuals, Regulations (Code of Federal Regulations), Technical Standards, and Guides, as well as ORO Orders, Notices, and Manuals.

- b. Division of Primary Interest is the organization, typically at the Division level, that has principal responsibility for the subject matter of a particular directive and which originates ORO directives related to that subject.
8. CONTRACTOR REQUIREMENTS DOCUMENT. None. Although DOE 251.1 is applicable to contractors, no additional requirements are imposed in this OR Order.
9. ATTACHMENTS. None.

Original Signed By

Daniel H. Wilken
Assistant Manager
for Administration