

Approved: 1-17-2017

SUBJECT: DEPARTMENTAL DIRECTIVES PROGRAM

1. PURPOSE. To establish directives as the primary means to set, communicate, and institutionalize policies, requirements, responsibilities, and procedures for Departmental elements and contractors.
 - a. Directives facilitate achievement of the Department of Energy's (DOE's) strategic and operational goals. They also help to ensure safe, secure, efficient, cost-effective operations and compliance with applicable legal requirements.
 - b. Directives promote operational consistency throughout the DOE complex and foster sound management.
2. CANCELS/SUPERSEDES. DOE O 251.1C, *Departmental Directives Program*, dated 1-15-09. Cancellation of a directive does not, by itself, modify or otherwise affect any contractual or regulatory obligation to comply with the directive.
3. DEPARTMENTAL APPLICABILITY.
 - a. Departmental Elements.
 - (1) With the exception of the equivalencies/exemptions listed in paragraph 3.c., this Order applies to all Departmental elements.
 - (2) The Administrator of the National Nuclear Security Administration (NNSA) must ensure that NNSA employees comply with their responsibilities under this directive. Nothing in this directive will be construed to interfere with the NNSA Administrator's authority under section 3212(d) of Public Law (P.L.) 106-65 to establish Administration-specific policies, unless disapproved by the Secretary.
 - b. Contractors. This Order does not apply to contractors.
 - c. Equivalencies/Exemptions for DOE O 251.1D.
 - (1) Requests for Equivalencies and Exemptions to this Order must be sent in memorandum form to the Director, Office of Management, for advice.
 - (a) The memorandum must briefly justify the reasons for the equivalency or exemption.
 - (b) The memorandum must reference the offices, or localities, and requirements for which the equivalency or exemption is sought.

- (2) Equivalency. In accordance with the responsibilities and authorities assigned by Executive Order 12344, codified at 50 U.S.C. sections 2406 and 2511 and to ensure consistency through the joint Navy/DOE Naval Nuclear Propulsion Program, the Deputy Administrator for Naval Reactors (Director) will implement and oversee requirements and practices pertaining to this Directive for activities under the Director's cognizance, as deemed appropriate.
- (3) Exemption. The Procurement Management System is exempt from this Order when not in conflict with a Departmental Directive. DOE heads of contracting activities (HCAs) will have an opportunity to review and comment on draft Acquisition Letters (AL) that would significantly affect the contract terms and conditions of management and operating contracts or other site and facility management contracts, or would materially affect contractor performance.
- (4) Exemption. The Office of the Chief Financial Officer (CFO) is exempt from this Order when developing and issuing the CFO's Financial Management Handbook. However, DOE Field CFOs will be afforded a reasonable opportunity to review and comment on draft handbook chapters that provide guidance, instruction or direction to Field CFOs.
- (5) Exemption. CFO budget calls, which provide guidance, instruction and direction to Headquarters Departmental elements and the field on the preparation of budgets.
- (6) Exemption. Guidance, direction and instruction issued by the Department's Designated Agency Ethics Official (DAEO) in carrying out the DAEO's responsibilities required by law or by the Office of Government Ethics, or as determined necessary by the DAEO in carrying out the Department's ethics and standards of conduct program.
- (7) Exemption. Guidance, direction, legal interpretation and instruction issued by the Department's General Counsel (or NNSA's or any Power Marketing Administration's General Counsel) to, or concerning the management of, the Department's (or NNSA's or any Power Marketing Administration's) attorneys and the legal services and advice they render. Legal guidance, direction, interpretation or instruction issued by an attorney of the Office of the General Counsel, NNSA General Counsel or any Power Marketing Administration Office of General Counsel is within this exemption.
- (8) Exemption. Guidance, direction and instruction issued by the Office of the Chief Human Capital Officer (CHCO) (when not in conflict with a Departmental Directive) related to the proper execution of human resources authorities and processes within the Department.

- (9) Exemption. Instructions regarding Appendix E for human resources related Orders. For non-NNSA organizations, an exemption or equivalency must be approved by the CHCO. For NNSA, an exemption or equivalency must be sent to the CHCO for review and comment. If the CHCO has any comments that are not resolved to the satisfaction of the CHCO and NNSA, the CHCO and the NNSA Administrator shall jointly submit the dispute to the Deputy Secretary or the Secretary for resolution.

4. REQUIREMENTS.

a. General.

- (1) Principles for Directives Development. Directives must adhere to the Principles for Directives Development listed in Appendix D.
- (2) Department of Energy (DOE) Operations Committee. The DOE Operations Committee must be maintained to provide strategic oversight and senior-level direction in the evaluation of the need for new or updated directives and other Departmental requirements, and the prioritization of those requirements. In particular, the DOE Operations Committee will review the justification and need for requirements, and provide direction to ensure that the promulgation of requirements is evaluated with respect to mission relevance and impact. Further, it will appropriately prioritize next steps to promote mission achievement. The Secretary or the Deputy Secretary will determine the membership of the DOE Operations Committee.
- (3) The Directives Review Board (DRB). The DRB ensures that the Departmental Directives Program contains directives that enhance DOE's ability to achieve its mission goals in a safe, secure, and cost-effective manner. The DRB is chaired by the Director, Office of Management, Membership is comprised of two senior representatives from each of the three Under Secretarial offices; the Office of the General Counsel (GC); and the Office of Environment, Health, Safety and Security (AU). Senior representatives from the National Laboratories Directors Council and Field Managers Council serve as non-voting advisory members on the Board and attend meetings and other proceedings, as required. A list of DRB members and the organizations they represent is available on the DOE Directives website.
- (4) The Departmental Directives Program. The Departmental Directives Program must provide and maintain a methodology for creating and promulgating DOE-wide requirements for Federal staff. The Departmental Directives Program must also be used to extend related requirements to applicable contracts.

- (5) Integrated Project Team(s) (IPTs). Each IPT must be charged with developing a consensus product in support of the desired end state for a directive's development or revision as determined by the DRB and the DOE Operations Committee (see Appendix B).

b. Directives Development.

- (1) New directives and revisions to existing directives must be processed using an IPT or a Fast Track revision process as outlined in Appendices A through C. Documents not developed and processed as outlined in these appendices are unauthorized and must not be considered directives. Acceptable alternative programs or processes must have an approved and current Order outlining the methodology for promulgating unique requirements.
- (2) Unauthorized directives must be reported to the Departmental Directives Program and implementation held until a DRB determination.
- (3) Unauthorized directives must be, either:
 - (a) withdrawn;
 - (b) modified (e.g., restrict its applicability to one Departmental element) so that it no longer fits the description of an unauthorized directive; or
 - (c) converted to a directive following the processes described in this Order.
- (4) Headquarters and field elements are authorized to publish supplemental directives for use by those organizations and their contractors, provided the supplemental directives do not contradict, delete, or duplicate provisions in any applicable Policy, regulation, or Order.
- (5) Requirements in this Order for directives development, revision, cancellation, and approval must take precedence over all other directives. Where conflicts exist between directives, the Departmental element that identifies the conflict must notify the DRB in writing. If the DRB confirms that a conflict exists, the conflict must be resolved by revising one or more of the subject directives or by other means approved by the DRB.
- (6) Directives must be written to clearly and concisely specify the goals and requirements that must be met while refraining from mandating how to fulfill them to the highest extent possible. Directives that cover high risk functions, such as safety and security, or areas that require consistency, such as financial reporting and information technology, may, when necessary, specify how the requirements must be met.

- (7) Directives must be written following a standardized format and include the content required by this Order (Templates will be maintained on the DOE Directives website).
- (8) Offices of Primary Interest (OPIs) must propose directives actions, when requested, for inclusion on the Directives Prioritization list. The DRB may request that OPIs review and/or revise a specific directive if the DRB is notified that the directive is ineffective. OPIs may also propose directives actions for inclusion on the Directives Prioritization list on an ad hoc basis (see Appendix A).
- (9) Directives may cite a section or requirement in an existing directive, law, regulation, or standard but must not re-promulgate the same requirement. To the extent possible, directives should be written so that they are consistent with, or incorporate, voluntary consensus standards.
- (10) Directives must use attachment(s) when providing more detailed information, direction, or requirements that are applicable to Federal and/or contractor employees. Where applicable, a CRD must be Attachment 1 to an Order.
- (11) Directives must use an appendix when providing more detailed information, direction, or requirements that are applicable only to Federal employees.
- (12) Changes to directives that affect nuclear safety as defined in the current version of DOE O 410.1, *Central Technical Authority Responsibilities Regarding Nuclear Safety Requirements*, and therefore require Central Technical Authority (CTA) review, must be placed into the Review and Comment system for a concurrence review.
- (13) If any part of a directive applies to the NNSA, the following language must be added to the Departmental Applicability paragraph:

The Administrator of NNSA will assure that NNSA employees and contractors comply with their respective responsibilities under this directive. Nothing in this Order/Notice will be construed to interfere with the NNSA Administrator's authority under section 3212(d) of Public Law (P.L.) 106-65 to establish Administration-specific policies, unless disapproved by the Secretary.
- (14) If any part of a directive applies to the Naval Nuclear Propulsion Program, the following language must be added to the Departmental Applicability paragraph:

In accordance with the responsibilities and authorities assigned by Executive Order 12344, codified at 50 USC sections 2406 and 2511 and to ensure consistency through the joint Navy/DOE Naval Nuclear Propulsion Program, the Deputy Administrator for Naval Reactors (Director) will implement and oversee requirements and practices pertaining to this Directive for activities under the Director's cognizance, as deemed appropriate.

- c. Contractor Requirements in Directives. A concise set of all contractor requirements must be provided in Attachment 1, the contractor requirements document (CRD). Where appropriate, the CRD's requirements and responsibilities for contractors must be consistent with requirements and responsibilities for DOE personnel as defined in the directive. The CRD must be a stand-alone document, not simply direct a contractor to follow requirements in an Order.
- d. Secretarial Memoranda.
 - (1) Secretarial and Deputy Secretarial policy memoranda that contain requirements that affect more than one Departmental element must identify the OPI, must be converted or incorporated into the Departmental Directives Program, and must include a timeline for the conversion and incorporation of the memoranda requirements (see process in Appendix H).
 - (2) Secretarial and Deputy Secretarial policy memoranda that contain requirements that affect more than one Departmental element and are not identified for cancellation or conversion or incorporation into the Departmental Directives Program must be reviewed upon departure of the Secretary/Deputy Secretary for possible integration into DOE's business practices (see process in Appendix H).
- e. Implementation of DOE Directives.
 - (1) Requirements for Federal employees in new or revised directives must be fully implemented within twelve months of issuance, unless otherwise stated in the directive.
 - (2) Directives with CRDs must denote, for existing contracts, the implementation timeline established by the Head of the Departmental Element if it is prior to the next contract award, renewal, or extension.
 - (3) The Head of the Departmental Element, or his or her designee, shall notify the Contracting Officer (CO) and other appropriate subject matter experts in the organization that the directive applies to an existing contract or to a solicitation for a future contract. For existing contracts, the Head of Departmental Element shall designate appropriate representatives to work

with the CO to develop an appropriately tailored set of standards, practice, and controls.

- (a) For existing M&O contracts, after being notified by the Head of the Departmental Element or his or her designee, the CO shall provide the contractor the opportunity to assess the effect of incorporating the CRD on contract cost, funding, schedule, and technical performance, and to provide input on the appropriately tailored set of requirements for the contract. All associated activities will be accomplished in a timely manner and, if applicable, in accordance with the timelines established in DEAR 970.5204-2. The Contracting Officer will incorporate the CRD without alteration unless the directive permits alteration and the appropriate process is followed.
 - (b) For existing non-M&O contracts, after being notified by the Head of the Departmental Element or his or her designee, the CO shall provide the contractor the opportunity to assess the effect of incorporating the CRD on contract cost, funding, schedule, and technical performance, and to provide input on the appropriately tailored set of requirements for the contract. Non-M&O contracts do not give the CO the unilateral right to modify them. Therefore, the CO shall attempt to incorporate the CRD bilaterally. If attempts to negotiate the requirement into the contract bilaterally are not successful, the CO shall consult with the Head of Contracting Activity (HCA), Headquarters program office, and General Counsel. The CO shall incorporate the CRD without alteration unless the CRD or directive permits alteration and the appropriate process is followed.
- (4) The DRB will seek feedback on the implementation of new or revised directives after the directive is fully implemented but no later than 18 months following issuance. The DRB will determine if the directive needs to be placed back on the prioritization list for update and revision. The DRB will help determine the magnitude and scope of further revision.
 - (5) IPT Co-Chairs may be called upon by the DRB to help determine the magnitude and scope of further revision.
 - (6) Equivalencies must be obtained when substituting another method for accomplishing the goal of a requirement (see Appendix E).
 - (7) Exemptions must be obtained when not implementing one or more requirements (see Appendix E).
 - (8) For contracts containing DEAR 970.5204-2, Laws, Regulations and DOE Directives, requirements for contractors seeking equivalencies/exemptions

must be stated in the contractor requirements document. For contracts not containing DEAR 970.5204-2, requirements for contractors seeking equivalencies/exemptions must include instructions to the Head of the Departmental Element.

5. RESPONSIBILITIES.

a. Secretary of Energy.

- (1) Issues, approves or cancels Directives or delegates approval authority.
- (2) Establishes the policy expectations for Department (sometimes referred to as the “Commander’s Intent”). This includes the purpose and desired end state for all Directives.
- (3) Approves an expedited directive development process other than that described in Appendices A through C, when necessary, or delegates approval authority to the Deputy Secretary.
- (4) Approves cancellation of policy memoranda or conversion into the Departmental Directives Program or delegates approval authority to the Deputy Secretary.
- (5) Adjudicates any remaining impasse on proposed directives when they occur between the office of primary interest (OPI) and/or other Departmental elements, organizations, or offices, or delegates resolution to the Deputy Secretary, as appropriate.
- (6) Determine the membership of the DOE Operations Committee.

b. Deputy Secretary. As the Secretary's delegate:

- (1) Approves and cancels Directives.
- (2) Approves an expedited directive development process other than that described in Appendices A through C for a directive, when necessary.
- (3) Approves the cancellation of policy memoranda or conversion into the Departmental Directives Program.
- (4) Adjudicates any remaining impasse on proposed directives when they occur between the office of primary interest (OPI) and/or other Departmental elements, organizations, or offices.
- (5) Designate a cognizant Head of a Departmental Element to serve as OPI for the development of each Secretarial Memoranda.
- (6) Determine the membership of the DOE Operations Committee.

- c. Under Secretaries. Designate two senior-level representatives to represent their interests and perform the roles and responsibilities of DRB members.

- d. Administrator, National Nuclear Security Administration.

For comments on NNSA exemptions or equivalencies to CHCO directives that are not resolved to the satisfaction of NNSA and the CHCO, submit the dispute, in coordination with the CHCO, to the Deputy Secretary for resolution.

- e. DOE Operations Committee.

- (1) Reviews and approves a prioritized schedule for directives development.
- (2) Reviews and approves justification for new or revised requirements.
- (3) Establishes the desired end-state for the development or revision of a directive, based on established law and the Secretary's policy expectations for the Department.
- (4) Seeks to resolve impasse on Directives issues, if the DRB is unable to reach resolution
- (5) Provides guidance to the DRB and IPT Co-Chairs as needed.

- f. Associate Under Secretary for the Office of Environment, Health, Safety and Security.

- (1) Ensures transmission of draft directives, invoked standards, and other relevant, approved documents through the DOE Departmental Representative to the Defense Nuclear Facilities Safety Board (DNFSB), for directives of interest to the DNFSB.
- (2) Ensures the Technical Standards Program (TSP) provides the DRB and the DOE Operations Committee with an annual prioritized list of Technical Standards proposed for revision.
- (3) Ensures the TSP coordinates with the DRB and the Departmental Directives Program regarding the development of any invoked Technical Standards.

- g. Chief Human Capital Officer (CHCO).

For comments on NNSA exemptions or equivalencies to CHCO directives that are not resolved to the satisfaction of the CHCO and NNSA, submit the dispute, in coordination with the NNSA Administrator, to the Deputy Secretary for resolution.

- h. Heads of Departmental Elements. As appropriate may, or may delegate to a direct report to:
- (1) Initiate development or revision of proposed directives in accordance with the requirements defined in Appendices A through C.
 - (2) Participate in or designate a participant for the IPT process for the development or revision of directives, as appropriate.
 - (3) Assign an IPT Co-Chair for directives for which he/she is the OPI undergoing the IPT development process.
 - (4) Ensure sufficient support and engagement in efforts to process draft directives within the prescribed timetables.
 - (5) Review and concur on the organization's position when impasses occur.
 - (6) Ensure that the organization implements new or revised directives in a timely manner.
 - (7) Ensure that contracting officers, in conjunction with Heads of Field Elements, work with contractors to incorporate CRDs into contracts, as appropriate.
 - (a) For non-NNSA elements, work with the Office of the General Counsel and the Office of Management (Office of Acquisition and Project Management) in developing requirements for contractors.
 - (b) For NNSA elements, work with the NNSA Office of the General Counsel and the NNSA Office of Acquisition and Project Management in developing requirements for contractors.
 - (8) Assign a Senior Authorizing Official (SAO) and alternate who possess sufficient knowledge and capabilities to be liaisons between their organization and the Departmental Directives Program. Provide the names and contact information to the Departmental Directives Program.
 - (9) Establish a documented process for evaluating requests for exemptions and equivalencies. Obtain the advice of the applicable OPI before approving an exemption or equivalency. All exemptions and equivalencies to Directives must be submitted to the Departmental Directives Program for appropriate posting.
 - (10) Submit recommendations for the directives prioritization process (See Appendix A).

- (11) Consult with the Director, Office of Management on Secretarial or Deputy Secretarial policy memoranda to recommend cancellation or conversion into the Departmental Directives Program.

i. Director, Office of Management.

- (1) Administers the Departmental Directives Program.
- (2) Serves as Chair of the DRB, and makes the final determination on directives process matters, unless otherwise specified.
- (3) Serves as the representative for Departmental staff/support offices not already represented on the DRB. For organizations that are represented, reviews submitted comments, and reconciles differences in coordination with DRB members.
- (4) Facilitates discussion between DRB members and Heads of Departmental Elements, or designees, for unresolved issues.
- (5) Coordinates and facilitates discussions with the DRB and the DOE Operations Committee.
- (6) Recommends to the DRB that a directive be removed from the Directive Prioritization List for inactivity.
- (7) Coordinates with the Executive Secretariat and relevant organizations to ensure that requirements established in Secretarial Memoranda are included in relevant directives.
- (9) Provides Headquarters Contracting Authorities and Field Managers with a regular list of canceled or approved directives. Approves and cancels Guides.

j. Directives Review Board Members.

- (1) Participate in DRB meetings, provide advice to the DRB Chair and other members, and vote (with the exception of advisory members) on proposed directives.
- (2) Solicit, reconcile, and consolidate comments on documents on behalf of represented organizations, and submit the comments to the Departmental Directives Program, when requested.
- (3) Recommend to the DRB Chair, whether the annual Directives Prioritization List be approved and sent to the DOE Operations Committee for final approval.

- (4) Recommend (with the exception of advisory members) that the DRB Chair concur on directives for approval or for forwarding to the Secretary or Deputy Secretary, through the DOE Operations Committee.
 - (5) Recommend to the DRB Chair, whether to approve the membership of an IPT, to include IPT Co-Chairs.
 - (6) Recommend to the DRB Chair, whether an IPT's decision memorandum presenting a new Order or recommended revisions to an existing Order be approved and sent to the DOE Operations Committee for final approval.
 - (7) Communicate with IPT members during all phases of the IPT process.
 - (8) Educate and communicate with the organizations they represent regarding the results of DRB meetings and Departmental Directives Program changes.
 - (9) Consult with Heads of Departmental Elements on policy memoranda before recommending to the DRB Chair that the Deputy Secretary either cancel or convert of Secretarial or Deputy Secretarial policy memoranda into appropriate Departmental directives, as appropriate.
 - (10) When at impasse, prepare position paper for DOE Operations Committee review.
- k. Central Technical Authorities (CTAs). Provide, to the applicable Senior Authorizing Officials and the applicable Head of the Departmental Element, their concurrence or non-concurrence on all directives that affect nuclear safety as defined in the current version of DOE O 410.1, *Central Technical Authority Responsibilities Regarding Nuclear Safety Requirements*.
- l. Departmental Directives Program Manager, Office of Management.
- (1) Manages the Departmental Directives Program processes.
 - (2) Serves as Executive Secretariat to the DRB.
 - (3) Ensures that documents submitted to the DRB by program offices meet established criteria prior to submission to the DRB for review.
 - (4) Manages the Departmental Directives Program website and the Review and Comment system.
 - (5) Approves administrative changes to existing directives.
 - (6) Notifies the Office of Acquisition and Project Management when directives with CRDs are issued.

- (7) Provides Department-wide education regarding the Departmental Directives Program and its processes.

m. Offices of Primary Interest (OPI).

- (1) Follow the process outlined in Appendices A through C for developing or revising directives.
- (2) Provide an IPT Co-Chair as well as IPT member, as directed, for directives proposed for development under the IPT process (See Appendix B).
- (3) For non-NNSA elements, work with the Office of the General Counsel and the Office of Management (Office of Acquisition and Project Management) in developing a CRD.
- (4) For NNSA elements, work with the NNSA Office of the General Counsel and the NNSA Office of Acquisition Management in developing a CRD.
- (5) Adhere to the prescribed formats when developing or revising directives, maintained on the DOE Directives website
- (6) Support efforts to engage organizations in resolving differences over comments.
- (7) Coordinate with the DOE Departmental Representative to the DNFSB, for all directives of interest to the DNFSB.
- (8) Provide advice to offices seeking Equivalencies or Exemptions.
- (9) Provide a progress report to the DRB, as requested, on implementation of a directive's requirements.
- (10) Support the Secretary, as directed, in the development and issuance of Secretarial Memoranda.

n. Senior Authorizing Official (SAO).

- (1) In consultation with the Head of their Departmental Element, determines his/her organization's official policy position on directives.
- (2) Ensures timely organizational input on decision memoranda, draft directives, and cancellation of directives from subject matter experts (SMEs), as requested by the OPI, DRB, IPT, or IPT Member.
- (3) Develops a process by which to solicit, review, and adjudicate comments from within his/her organization, to be used when a review does not take place using the Review and Comment system.

- (4) Assigns subordinate Authorizing Officials (AO) as needed to execute SAO duties at lower/localized levels, to include SME comment resolution/adjudication.
 - (5) Assigns SMEs within his/her organization, as needed, for each draft directive issued for review and comment through the Departmental Directives Program.
 - (6) Obtains extensions on comment due dates from initiator (OPI, IPT, or IPT Member), in conjunction with the Departmental Directives Program.
 - (7) Consolidates and adjudicates SME comments, eliminating editorial, pejorative, conflicting, redundant, or non-value added comments, and provides a specific cohesive set of recommendations for document improvement. Assures SMEs are informed when their comments are not forwarded with consolidated submission package.
 - (8) Coordinates with the DOE Departmental Representative to the DNFSB, for all directives of interest to the DNFSB.
 - (9) Acts as the liaison between the organization and the Departmental Directives Program as appropriate.
 - (10) Ensures organization awareness of significant concerns and issues.
 - (11) Appoints an Authorization Coordinator (AC) from within his/her organization, as needed.
- o. Integrated Project Team (IPT) Co-Chairs.
- (1) Manage the IPT throughout the directive development and revision process (See Appendix B).
 - (2) Serve as the IPT's direct interface to the DRB, providing updates and facilitating required approvals.
- p. IPT Members.
- (1) Represent the equities and interests of their Programmatic chain.
 - (2) Solicit SME input and buy-in from within their organization, as appropriate.
 - (3) Coordinate and consolidate input and/or comments from across their organization.
 - (4) Solicit their management chain buy-in throughout the development process.

- (5) Develop, maintain, and track communication with project stakeholder groups they are assigned to represent.
- (6) Develop a consensus draft in support of the desired end state for the directive's revision, as determined by the DRB and the DOE Operations Committee (see Appendix B).

q. DOE Departmental Representative to the DNFSB.

- (1) Coordinates with the AU DRB member.
- (2) Coordinates relevant directives reviews with the DNFSB.
- (3) Provides the OPI/IPT/DRB with DNFSB comments through the process used by the Department.
- (4) Facilitates communication between the OPI/IPT and DNFSB regarding DNFSB comments prior to a directive's approval.
- (5) Provides the DNFSB with approved copy of directives and related documents, for directives of interest to the DNFSB.
- (6) Ensures that the DNFSB has access to the most recently approved versions of directives and other relevant documents.
- (7) Informs the Departmental Directives Program when the DNFSB has questions, concerns or comments on directives or other relevant documents.
- (8) Informs the DNFSB when a directive is considered for cancellation.
- (9) Informs the OPI/IPT and DRB on relevant DOE implementation plan provisions and Secretarial commitments to the DNFSB that impact directives of interest to the DNFSB.

r. Heads of Field Elements.

- (1) Ensures comments, implementation perspectives and impacts are provided into the Directives development process through assigned SMEs.
- (2) Serve as the AO when designated by the SAO (i.e. performing SAO duties at a lower organizational level).
- (3) Appoints local ACs, when needed, in support of an AO.
- (4) Provides oversight of the directives implementation process as applicable to their organizational element (to include efforts required of Contracting Officers (CO)).

s. Contracting Officers (CO).

- (1) For M&O contracts, after being notified by the Head of the Departmental Element or his or her designee, the CO must incorporate the CRD into the contract by the due date established by the Head of the Departmental Element. The Contracting Officer must incorporate the CRD without alteration unless the CRD permits alteration and the appropriate process is followed, or unless requirements are tailored per DEAR 970.5204-2.
- (2) For non-M&O contracts, after being notified by the Head of the Departmental Element or his or her designee, the CO must attempt to incorporate the CRD into the contract by the due date established by the Head of the Departmental Element. Non-M&O contracts do not give the CO the unilateral right to modify the contract. Therefore, the CO must attempt to incorporate the CRD bilaterally. If unsuccessful, the CO must consult with Head of the Departmental Element or appropriate program official. The CO must incorporate the CRD without alteration unless the appropriate process for exemption/equivalency is followed.

t. Senior Authorization Coordinator (SAC).

- (1) Provide administrative support to the Senior Authorizing Official (and any assigned AOs) for directive activities.
- (2) Develop functional area/SME workflows for the Senior Authorizing Official (and any assigned AOs) to use during directive activities.
- (3) Serve as the primary means of dissemination and engagement of comment and input processes (working in conjunction with ACs, if utilized within the organization).
- (4) Facilitate the review and comment process for draft directives (working with AOs and ACs as appropriate) to assure the expected set of SMEs are involved in each effort, as appropriate.

6. REFERENCES.

- a. Title 41, Code of Federal Regulations (CFR), Parts 102-193.25(c), which provides agency managers with the means to convey written instructions to users and document agency policies and procedures through effective directives management.
- b. Public Law (P.L.) 106-65, Title XXXII National Nuclear Security Administration Act, as amended, which established a separately organized agency within the Department of Energy.

- c. National Defense Authorization Act for FY 2013, Section 3120. Improvement and Streamlining of the Missions and Operations of the Department of Energy and National Nuclear Security Administration.
 - d. DOE O 252.1, *Technical Standards Program*, current version.
 - e. DOE O 410.1, *Central Technical Authority Responsibilities Regarding Nuclear Safety Requirement*, current version.
 - f. DOE O 471.6, *Information Security*, current version.
7. DEFINITIONS. See Appendix K.
8. CONTACT. Questions concerning this Order should be addressed to the Departmental Directives Program at 202-287-5641.

BY ORDER OF THE SECRETARY OF ENERGY



ELIZABETH SHERWOOD-RANDALL
Deputy Secretary

DIRECTIVES PRIORITIZATION PROCESS

This Appendix describes the process for the prioritization of directives actions. The DRB and the Departmental Directives Program will prioritize and schedule directives actions. The DOE Operations Committee will review and approve the proposed Directives Prioritization list. This review and approval will serve as the justification for scheduled directives actions. No development of a draft directive should begin until the DOE Operations Committee approves the Directives Prioritization list.

1. REQUEST FOR DIRECTIVES ACTIONS. The DRB and the Departmental Directives Program will compile a list of proposed directives.
 - a. OPIs must review their directives and propose revisions to existing directives or the development of new directives, as needed.
 - b. OPIs must review directives in which they are stakeholders and provide the DRB with recommendations for directives revision.
 - c. OPIs must provide a justification for the revision to or development of a new directive. Justifications may include, but are not limited to:
 - (1) Presidential or White House direction;
 - (2) Congressional or legislative direction;
 - (3) Secretarial or Deputy Secretarial direction;
 - (4) Government Accountability Office (GAO) or Office of Management and Budget (OMB) report responses;
 - (5) Changes needed to improve implementation efficiency, reduce implementation burden, or reduce mission risk; and
 - (6) Program or field requests for updates.
 - d. OPIs must propose a revision path as follows:
 - (1) Integrated Project Team (IPT) Development or Revision. IPT revisions may include, but are not limited to, major, substantive, or complex revisions where disputes in changing requirements are anticipated. The OPI must recommend Co-Chairs to head the IPT. (See process in Appendix B.)
 - (2) Fast Track Development or Revision. Fast Track revisions are limited to minor changes, undisputed reductions in requirements, changes directed by S1/S2, verbatim codification of Secretarial Memoranda into directives, or a combination of the above. (See process in Appendix C.)

- e. The DRB and the Departmental Directives Program will meet with OPIs, as necessary, to determine the final proposed Directives Prioritization list and schedule. Priorities will be set as follows:
 - (1) Priority 1.
 - (a) Changes directed by the White House, the Congress, the Office of Management and Budget (OMB), the Secretary (S1), the Deputy Secretary (S2), or the DOE Operations Committee.
 - (b) Critical national security updates.
 - (c) Critical nuclear safety and security updates.
 - (d) Critical safety and security issues.
 - (2) Priority 2.
 - (a) Revisions to correspond with changes in law or regulations.
 - (b) Commitments to the Inspector General (IG) or the Government Accountability Office (GAO).
 - (c) Revisions to benefit the Department.
 - (3) Priority 3.
 - (a) Minor changes or reduced requirements.
 - (b) Revisions to align with external standards and practices.
 - (c) Clarifications of requirements.
 - (d) Cancellations.
- f. The DRB-approved Directives Prioritization list and schedule will be presented to the DOE Operations Committee for approval.

2. AD HOC DIRECTIVES ACTIONS.

- a. OPIs must notify the DRB and the Departmental Directives Program of the need to revise or develop a directive that is not on the approved Directives Prioritization list as soon as possible.
- b. OPIs must provide a justification for the revision to or development of a new directive. Possible justifications are outlined in paragraph 1.c. of this Appendix. OPIs must propose a revision path as outlined in paragraph 1.d. of this Appendix.

- c. The DRB and the Departmental Directives Program will meet with OPIs, as necessary, to determine whether unscheduled directives actions should be placed on the Directives Prioritization list and schedule. DRB approved actions will be presented to the DOE Operations Committee for approval.

INTEGRATED PROJECT TEAM (IPT) DIRECTIVES PROCESS

This Appendix describes the process for developing, revising, and approving directives using the IPT process. The processing time for Directives will be determined by the DRB and approved by the DOE Operations Committee. The Secretary, Deputy Secretary, DOE Operations Committee, or DRB Chair may approve an expedited process for processing directives.

IPT revisions may include, but are not limited to, major, substantive, or complex revisions where disputes in changing requirements may be anticipated.

1. STAGE 1. DEVELOPMENT APPROVAL AND SCHEDULING. The OPI must follow the Directives Prioritization process outlined in Appendix A. Once the Directives Prioritization list is approved, the OPI may establish the IPT according to the schedule.
2. STAGE 2. IPT CREATION.
 - a. The OPI must propose two IPT Co-Chairs for the directive revision. One Co-Chair must represent the OPI, and the other Co-Chair must represent a field element from a different program office. The DRB will approve the IPT Co-Chairs.
 - b. The IPT Co-Chairs, in coordination with program offices, must submit a list of proposed IPT Members to the DRB for approval. The IPT must consist of membership from all affected groups (to include the OPI; HQ program and staff organizations; field/site offices; and laboratories), and may include a member of the Departmental Directives Program, as appropriate. IPTs will have 10-12 members.
 - c. Once the DRB approves the IPT membership, the IPT will hold a kick-off meeting with senior leaders in the stakeholder organizations to discuss the purpose of the revision. This meeting will also cover the formation of the IPT and the anticipated directive revision process.
 - d. The IPT's first charge is to confirm that the directive is necessary. If the IPT decides the directive is needed, members will use the directive principles to review and revise the directive. If the IPT decides the directive is not needed, the OPI will begin the directives cancellation process.
3. STAGE 3. DEVELOPMENT OF THE DECISION MEMORANDUM. The IPT must develop a decision memorandum to be approved by the DRB and the DOE Operations Committee, following the timeline established through the Directives Prioritization effort. The approved decision memorandum must:
 - a. Recommend the desired end-state for the revision of the directive.
 - b. Confirm why the directive is necessary.

- c. Describe qualitatively and, where practical, quantitatively anticipated costs and beneficial impacts, such as improved safety, associated with the revised directive's implementation.
 - d. Identify any major issues arising from the recommended revisions. For issues that the IPT is unable to resolve, the decision memo must include options for DOE Operations Committee decision. The recommended options must weigh the pros and cons for each decision.
 - e. Identify all conflicts with existing directives, and any potential impacts to other directives, or to Departmental functions or operations; include options for DOE Operations Committee decision if such conflicts exist.
 - f. If IPT members cannot agree on an issue, the IPT will provide options for decision by the DRB and the DOE Operations Committee.
4. STAGE 4. FIRST DIRECTIVES REVIEW BOARD MEETING.
- a. The DRB must review and provide comments, if applicable, on the decision memorandum. As appropriate, any comments received during the review will be forwarded to the IPT Co-Chairs.
 - b. The IPT Co-Chairs must meet with the DRB to discuss the IPT-developed decision memo.
 - c. The DRB will provide the decision memorandum, along with its recommendations to the DOE Operations Committee for approval.
5. STAGE 5. FIRST DOE OPERATIONS COMMITTEE MEETING. The IPT Co-Chairs will present the IPT's decision memorandum at a DOE Operations Committee meeting, with the DRB Chair in attendance.
- a. The DOE Operations Committee will review the decision memorandum and, if necessary, choose from any recommended options for final approval.
 - b. The IPT Co-Chairs must receive approval from the DOE Operations Committee to start writing or revising the directive.
6. STAGE 6. DEVELOPMENT OF THE FIRST DRAFT. Once the decision memorandum is approved by the DOE Operations Committee, the IPT may begin draft development.
- a. The IPT must adhere to the Directives Prioritization schedule established by the DRB and the DOE Operations Committee, and collaborate with the Departmental Directives Program when developing or revising the draft directive.
 - b. The IPT Co-Chairs must provide the DRB with a plan that outlines the IPT's communication strategy with stakeholders as well as DRB Members. A template can be found on the DOE Directives website.

- c. If the IPT determines more time is needed for development than is allotted on the Directives Prioritization schedule, the IPT Co-Chairs must present their rationale and a recommended time frame to the DRB for approval.
- d. IPT members must engage stakeholders throughout the IPT process and provide IPT documents to stakeholders, when appropriate. IPT members must document these communications, and provide the tracking sheet to the DRB, the IPT Co-Chairs, and/or the Departmental Directives Program when requested. These stakeholders must include, but are not limited to:
 - (1) affected program and site offices;
 - (2) Field Management Council representatives, as requested;
 - (3) National Laboratory Directors Council representatives, upon DRB request;
 - (4) the appropriate DOE or NNSA counsel;
 - (5) the Office of Primary Interest responsible for any DOE Technical Standard being invoked in the directive;
 - (6) the Office of Policy, Office of Acquisition Management (MA-61);
 - (7) Field Contracting Officers;
 - (8) CTAs, when appropriate; and
 - (9) the DOE Departmental Representative to the DNFSB, for all directives of interest to the DNFSB.
- e. The Review and Comment system may be used throughout the IPT draft development process to collect comments from key stakeholders across the complex, as appropriate.
- f. The IPT Co-Chairs will meet with the DRB at various milestones determined by the DRB and the Departmental Directives Program.
- g. After the draft directive has been developed, the IPT Co-Chairs must submit an electronic copy of the draft directive to the Departmental Directives Program.
- h. For a revised directive, a crosswalk of requirements must accompany the draft directive when requested by the DRB.

7. STAGE 7. DIRECTIVE REVIEW AND COMMENT.

- a. The draft directive must be coordinated with key stakeholders across the department, as determined by the DRB and IPT, following the timeline established through the Directives Prioritization effort. The DRB, in coordination

with the IPT, will determine if the draft directive warrants further review using the Review and Comment system.

- b. If the Review and Comment system is used, IPT members must respond to all comments provided, stating whether the comment was accepted or rejected by the IPT. IPT members will not directly address editorial comments. Editorial comments will be used by the IPT and the Departmental Directives Program for final draft edits.
 - c. If the draft is an Order invoking a draft Technical Standard, the draft Order and the draft Technical Standard must be coordinated concurrently to ensure that all reviewers have access to both documents. The process for development of invoked DOE Technical Standards for contractors is found in the current version of DOE O 252.1, *Technical Standards Program*.
 - d. Classified information in DOE Directives must be protected according to requirements in the current version of DOE O 471.6, *Information Security*. Unclassified descriptions of classified directives can be posted on the Review and Comment system prior to transmission.
8. STAGE 8. COMMENT RESOLUTION/DEVELOPMENT OF THE FINAL DRAFT.
The IPT, following the timeline established through the Directives Prioritization effort, must:
- a. Respond to all non-editorial comments, work with commenters to resolve issues, and submit the comment resolution package on the Review and Comment system, if the system is used.
 - b. Provide the electronic files of the clean, updated draft directives, the updated development synopsis, and a communications plan to the Departmental Directives Program for presentation to the DRB.
9. STAGE 9. FINAL REVIEW AND CONCURRENCE.
- a. The final draft directive will be posted to the Review and Comment system for department-wide concurrence, as appropriate.
 - b. The final draft directive and any relevant documents must be reviewed by the DRB. Technical Standards approved through the Technical Standards development process and invoked by Orders must be reviewed by the DRB along with the revision to the applicable Order. Comments received during the review will be forwarded to the IPT Co-Chairs, as appropriate.
 - c. For issues that cannot be resolved at the IPT level, Heads of Departmental Elements or their designee(s), must meet with the DRB to address concerns regarding the final draft directive and the implementation strategy.

- d. If consensus is reached, the DRB will validate that the final directive reflects the approved DRB decisions.
- e. If consensus cannot be reached between the DRB members, the DRB Chair facilitates the discussion of unresolved issues between the DRB members and the Heads of Departmental Elements or their designees who cannot reach agreement.
- f. If the issues cannot be resolved, an impasse occurs. The OPI must include the impasse issue(s), its position, the position of the dissenting organization(s), the decision memo as approved by the DOE Operations Committee, and the DRB's recommendation in a summary paper. The organization that does not agree with the OPI's position must provide a summary paper with its position to the OPI for inclusion in the approval package.

10. STAGE 10. FINAL APPROVAL.

- a. Once the DRB reaches consensus on the final draft directive or agrees to send an impasse issue forward, the OPI must prepare an approval package. Templates for approval package content can be found on the DOE Directives website.
- b. The approval package will be forwarded by the Departmental Directives Program through the DOE Operations Committee Chair to the Secretary or Deputy Secretary to render a decision on any impasse issues and issue the directive.

11. STAGE 11. IMPLEMENTATION.

- a. The IPT must develop an implementation strategy throughout the IPT process. The strategy must include specific actions for effectively communicating and implementing the revised directive. This document will include key milestones and the organizations responsible for each action as established in the directive.
- b. The DRB will provide guidance on proposed implementation strategies.
- c. The IPT Co-Chairs will return to the DRB, when requested, to provide an update on implementation. DRB members may also provide perspectives on implementation.
- d. If the DRB is presented with implementation issues that require an update to the directive, it will recommend the directive as an ad hoc addition to the prioritization schedule for DOE Operations Committee approval.
- e. Upon DOE Operations Committee approval, the ad hoc update to the directive will be added to the Directives Prioritization list and schedule.

FAST TRACK DIRECTIVES PROCESS

This Appendix describes the process for developing, revising, and approving directives using the Fast Track process. The processing time for Directives will be determined by the DRB and approved by the DOE Operations Committee. The Secretary, Deputy Secretary, or DRB Chair may approve a Fast Track process for processing directives.

Fast Track revisions are limited to minor changes proposed by the OPI, undisputed reductions in requirements as agreed to by the DRB and DOE Operations Committee, changes directed by S1/S2, verbatim codification of Secretarial Memoranda into directives, or a combination of the above. The goal of the Fast Track process is for the directive to be issued within 60 days. Directives will only be scheduled for Fast Track development with the unanimous approval of all DRB members.

1. STAGE 1. DEVELOPMENT APPROVAL AND SCHEDULING. The OPI must follow the Directives Prioritization process outlined in Appendix A. Once the directive action is approved for the Fast Track process, the OPI may begin draft development according to the established schedule.
2. STAGE 2. DEVELOPMENT OF THE FIRST DRAFT.
 - a. The OPI must adhere to the Directives Prioritization schedule established by the DRB and the DOE Operations Committee.
 - b. The OPI must collaborate with the Departmental Directives Program when developing or revising the draft directive.
 - c. As needed, the OPIs must engage stakeholders throughout the Fast Track process and provide IPT documents to stakeholders, when appropriate. The OPI must document these communications, and provide the tracking sheet to the DRB and/or the Departmental Directives Program when requested. These stakeholders must include, but are not limited to:
 - (1) affected program and site offices;
 - (2) Field Management Council representatives, as requested;
 - (3) National Laboratory Directors Council representatives, upon DRB request;
 - (4) the appropriate DOE or NNSA counsel;
 - (5) the Office of Primary Interest responsible for any DOE Technical Standard being invoked in the directive;
 - (6) the Office of Policy, Office of Acquisition Management (MA-61);
 - (7) Field Contracting Officers;

- (8) CTAs, when appropriate; and
 - (9) the DOE Departmental Representative to the DNFSB, for all directives of interest to the DNFSB.
 - d. After the draft directive has been developed, an electronic copy must be sent to the Departmental Directives Program.
 - (1) If revising a directive, a crosswalk of requirements must accompany the draft directive when requested by the DRB.
 - (2) The OPI must provide the DRB and the Departmental Directives Program a development synopsis detailing points of contact consulted, comments submitted during draft development, and remaining comment resolution disputes (collaboration tracking system).
 - (3) The OPI must provide the DRB and the Departmental Directives Program with any relevant background documentation, applicable to the proposed directives revision or development (e.g., S1/S2 Memoranda, GAO Report, etc).
- 3. STAGE 3. FAST TRACK REVIEW AND COMMENT.
 - a. The review of the draft directive must be coordinated through the DRB.
 - b. The draft directive and any relevant documents must be reviewed by the DRB. Any comments requiring resolution received during the DRB review will be forwarded to the OPI.
 - c. Classified information in DOE Directives must be protected according to requirements in the current version of DOE O 471.6, *Information Security*. Unclassified descriptions of classified directives can be provided prior to transmission.
- 4. STAGE 4. COMMENT RESOLUTION/DEVELOPMENT OF THE FINAL DRAFT.

The OPI must respond to comments and work with DRB members and commenters to resolve issues, as necessary;
- 5. STAGE 5. FINAL REVIEW.
 - a. The final draft directive and any relevant documents must be reviewed by the DRB. As appropriate, any comments received during the review will be forwarded to the OPI.
 - b. If consensus cannot be reached between the DRB members, the directive will be removed from the Fast Track development process.

- c. Classified information in DOE Directives must be protected according to requirements in the current version of DOE O 471.6, *Information Security*. Unclassified descriptions of classified directives can be provided prior to transmission.

6. STAGE 6. FINAL APPROVAL.

- a. Once the DRB reaches consensus on the final draft directive, the OPI must prepare an approval package. Templates for approval package content can be found on the DOE Directives website.
- b. The approval package will be forwarded by the Departmental Directives Program through the DOE Operations Committee Chair to the Secretary or Deputy Secretary to render a decision.

PRINCIPLES FOR DIRECTIVES DEVELOPMENT

New directives and revisions to existing directives must be developed following the Department's Principles for Directives Development.

1. ESTABLISH LINE ORGANIZATION NEED. The need for a new Directive must be affirmed by the responsible line organization(s). This may be done through the DOE Operations Committee.
2. EMPOWER FIELD OFFICES. Any new or modified Federal requirements should assign decision authorities and responsibilities at the lowest, appropriate level.
3. PROMOTE INCLUSIVENESS. Although the development of new or modified requirements is led by an office of primary interest, the Integrated Project Team (IPT) responsible for development must include participation by impacted entities.
4. AVOID UNNECESSARY DUPLICATION. Directives shall not duplicate or be inconsistent with laws or regulations and should be consistent with or incorporate widely accepted national standards.
5. REFLECT IMPROVED PLANNING AND COORDINATION. Directives should be written and developed by IPTs that consists of subject matter experts (SMEs), responsible line organization personnel, and impacted DOE, plant, and laboratory personnel.
6. CONTAIN PERFORMANCE-BASED CONTRACT REQUIREMENTS. Contract requirements contained in directives should specify only performance goals and outcome-based requirements when possible. Model contract requirements should avoid mandating process or approach for meeting those goals or requirements when possible. Directives should allow the use of a contract "H" clause in lieu of placing the directive itself into the contract as a requirements document. For higher risk areas where detailed process or technical requirements are needed, consideration should be given to the development of a DOE technical standard in lieu of directives-based contract requirements.
7. BE TAILORABLE. IPTs developing a directive will determine which organizations need to be covered by the requirements rather than using a one-size-fits-all approach. Where possible, directives will reflect a tailored approach based on risk or will provide flexibility to Under Secretaries to determine the extent to which requirements are implemented in their organizations.
8. INCORPORATE A RISK MANAGEMENT STRATEGY. IPTs will assess risk in determining the degree of required prescription for both Federal and contract requirements. For Federal requirements, the IPT may also consider the need for consistency and integration within DOE. The IPT will factor implementation costs and impacts, as well as the effectiveness of the overall risk mitigation strategy, into the development process for each requirement. Proposed Federal and contract requirements should be necessary for mission accomplishment or should reflect a strategy for risk management that is integrated with other related laws, regulations, Directives, etc.

EQUIVALENCY AND EXEMPTION PROCESS

When an organization seeks an equivalency or exemption, the responsible Head of the Departmental Element or designee may grant an equivalency or exemption to the requirements in a DOE directive after seeking advice from the OPI. Organizations should make full use of exemptions and equivalencies, as appropriate, to avoid unnecessary burden. CTA concurrence, through their relevant DRB member, is required prior to the granting of equivalencies or exemptions for nuclear safety directives identified in the current version of DOE O 410.1, *Central Technical Authority Responsibilities Regarding Nuclear Safety Requirements*.

Unless specified otherwise in the directive, the following process must be used to obtain equivalencies and exemptions.

1. The organization seeking the equivalency or exemption must include the following information in the exemption/equivalency request and obtain advice from the OPI and their relevant GC office before submitting the request to the Head of the Departmental Element for approval. The content of the memorandum must:
 - a. identify the requirement(s) for which the equivalency/exemption is being sought;
 - b. explain the equivalency/exemption;
 - c. justify the reasons for the equivalency/exemption;
 - d. identify the offices or sites for which the equivalency/exemption is being sought;
 - e. confirm that the application of the exemption or equivalency does not conflict with applicable federal law or regulations;
 - f. indicate when compliance will be achieved in cases of an equivalency;
 - g. describe any alternative or mitigating actions, to include associated risks, that have been or will be taken to ensure adequate protection of the public, workers, and the environment for the period during which the exemption will be effective, when applicable; and
 - h. describe conclusions and recommendations from the OPI review of the exemption/equivalency and resolution of recommendations.
2. The Head of the Departmental Element or designee may grant an exemption only if the exemption:
 - a. is not contrary to law or regulations;
 - b. ensures adequate protection of the public, workers, and the environment; and
 - c. remains consistent with the primary goal and purpose of the directive.

3. Heads of Departmental Elements who grant equivalencies and exemptions to directives, including CRDs, must have a documented process for performing evaluation of proposed equivalencies and exemptions in place and disseminated to their organization, and be able to provide that process and its results upon request.
4. The OPI has 15 working days to respond to a request for advice.
5. Directives involving high-risk activities (e.g. nuclear safety) specify that a proposed exemption or equivalency be concurred on by the responsible organization. These directives will be revised to include a timeframe (e.g., 45 days) for the responsible organization to provide concurrence.

DIRECTIVES TYPES

1. POLICIES.

- a. Establish high level expectations in the conduct of the Department's mission and impact two or more Departmental elements.
- b. May be issued through memoranda by the Secretary or Deputy Secretary.
- c. Provide the Secretary's direction for Orders, Guides, and Technical Standards.
- d. Remain in effect until canceled by the Secretary or Deputy Secretary.

2. ORDERS.

- a. Requirements documents developed and processed in the Departmental Directives Program, and approved by the Secretary or the Deputy Secretary.
- b. Establish management objectives, requirements, and assignment of responsibilities for DOE Federal employees consistent with the law, policy, and regulations applicable to DOE.
- c. If requirements for contractors are necessary, they are included in Attachment 1, known as the contractor requirements document (CRD).

3. MANUALS.

- a. Dictate how Federal and contractor employees are to implement requirements.
- b. Are being phased out and canceled or are converted to or incorporated into Orders, as appropriate. Manuals will not be revised and no new Manuals will be created.

4. GUIDES.

- a. Provide acceptable, but not mandatory, means for complying with requirements included in Orders and Manuals that have not yet been phased out. Guides must be associated with a directive or a rule.
- b. Do not impose requirements, but may quote requirements if the sources are adequately cited.

DIRECTIVES CANCELLATION PROCESS

The requirements of this section apply only if a given directive is canceled and not replaced by a successor directive or incorporated into another directive. If the cancellation of a directive is found to be necessary, the OPI must submit the directive to the Departmental Directives Program and the DRB for inclusion on the Directives Prioritization list and schedule.

1. Once the DRB reaches consensus on the cancellation, the DRB will determine the course of further cancellation review.
2. If no objections are received on the cancellation of the directive, the OPI will be instructed by the DRB to provide the Departmental Directives Program with an approval package.
3. If a Policy, Order, or Manual is being canceled, the Departmental Directives Program transmits the approval package to the Deputy Secretary. If a Guide is being canceled, the Departmental Directives Program transmits the approval package to the Director, Office of Management.

POLICY MEMORANDA CONVERSION PROCESS

Memoranda issued by the Secretary or Deputy Secretary that contain requirements must state how those requirements will be integrated into DOE's business processes (e.g., directive, budget guidance, regulation), as applicable. These and other memoranda must be reviewed for consideration for incorporation into the Departmental Directive Program if they establish requirements for more than one Departmental element. The Director, Office of Management, in consultation with the OPI, must review memoranda and provide recommendations to the Secretary or Deputy Secretary, through the DOE Operations Committee. Recommendations may include retirement, retention, or conversion into a directive in the Departmental Directives Program.

1. Recommendation to Retire Memorandum. The Departmental Directives Program, in consultation with the OPI, prepares an approval package consisting of an action memorandum and the rationale for each recommendation for submission to the Secretary or Deputy Secretary, through the DOE Operations Committee, for approval.
2. Recommendation to Convert or Incorporate Memorandum Requirements into a Directive.
 - a. The OPI must place the memo in the appropriate directive template verbatim and submit an electronic file to the Departmental Directives Program.
 - b. The draft directive must be reviewed by the DRB.
 - c. As appropriate, comments must be forwarded to the OPI.
 - d. The draft directive must be discussed at a DRB meeting.
 - e. If the DRB approves the draft directive, the OPI must prepare and submit to the Departmental Directives Program an approval memorandum containing the former Secretarial memorandum and the proposed conversion to a directive for the Deputy Secretary's signature.

ADMINISTRATIVE CHANGE PROCESS

Administrative changes are those that do not alter the applicability of, or requirements or responsibilities in, the affected directive. Examples of such changes are typographical errors; nomenclature changes, such as changes to organization names or title of officials; clarifications that do not alter requirements or responsibilities; or changes to legal citations. All directives requiring an administrative change have the same review process as delineated in this Appendix.

To request an administrative change, the OPI must:

1. Create redline/strikeout and clean copies of the proposed changes to the directive.
2. Incorporate the proposed changes to the directive into a Chart of Changes document.
3. Create an approval memo justifying the need for an administrative change for the approval of the Head of the Departmental Element or designee. Templates are located on the DOE Directives website.
4. Submit the signed approval memo with hard and electronic copies of the files listed above to the Departmental Directives Program for approval by the Program Manager, Departmental Directives Program.
5. The Departmental Directives Program will notify the OPI whether the administrative change has been granted. If the administrative change is not granted, the OPI may pursue the change subject to the process delineated in Appendices A through C.

DEFINITIONS

1. Administrative Changes. Changes that do not alter requirements or responsibilities in the affected directive. Examples of such changes are:
 - a. typographical errors;
 - b. nomenclature changes such as changes to organization names or titles of officials;
 - c. clarifications that do not alter requirements or responsibilities; or
 - d. changes to legal citations or references.
2. Authorization Coordinators (ACs). Support Senior Authorizing Officials and Authorizing Officials in their duties. Develop and maintain SME and functional area workflows for use in the review of directives actions and related documents. Submit the organization's consolidated comments on directives and related documents, as approved by the AO, at the AO's direction.
3. Authorizing Officials (AOs). Senior-level managers designated to assist the Senior Authorizing Official by assigning local SMEs to review directives actions; soliciting and consolidating comments on directives actions; ensuring management concurrence with comments; authorizing the AC to submit the organization's consolidated comments on directives and related documents to the Senior Authorizing Official; facilitating comment and issue resolution; and acting as liaison between their organizations and Senior Authorizing Official.
4. Commander's Intent. Describes what constitutes success for a directive. Includes a directive's purpose and the desired end state for a directive or a revision to one.
5. Comment Resolution. Process in which the OPI responds to comments received during the review of draft directives. All comments submitted on behalf of a Head of a Departmental Element by the Senior Authorizing Official must be addressed and resolved before the directive is approved, when possible. Comments not resolved will go through the impasse process.
6. Communication Plan. A document included with a directive's final draft that identifies and describes how training and/or any other roll-out activities performed by the OPI will be accomplished to support effective implementation of the directive.
7. Consensus. The highest level of agreement reached by a group as a whole.
8. Contractors. For purposes of the Directives Program, organizations under contract with DOE to perform services with the clause at DEAR 970.5204-2, Laws, Regulations and DOE Directives, in their contracts or requiring incorporation of a CRD in their contracts to implement an Order. (Note: This definition of contractor does not include all of the procurement contracts entered into by DOE.)

9. Contractor Requirements Document (CRD). An attachment to a directive that states the parts of the directive that apply to contractors. Where required, a CRD is included as Attachment 1 to a directive. CRDs can be unilaterally inserted into contracts that include DEAR 970.5204-2, Laws, regulations and DOE Directives, in accordance with that clause. The clause requires the Government to give the contractor time to identify the effect on the contract, including any increased costs or need for revision to the contract's incentives. For contracts not subject to DEAR 970.5204-2, the CRD may be bilaterally (that is, with the contractor's agreement) incorporated into the contract.
10. Coordination. The process through which all stakeholders, including contractors, have the opportunity to review and comment on draft directives.
11. Counsel. General Counsel, Procurement Counsel, Program Counsel, etc., all refer to attorneys assigned to various parties for the purpose of providing legal advice and guidance.
12. Crosswalk. A table for a directive revision which identifies changes in requirements and the bases for these changes.
13. Departmental Elements. Headquarters elements and first-tier organizations as listed in the Correspondence Style Guide, Office of the Executive Secretariat.
14. Directives. Documents in which DOE sets, communicates, and institutionalizes policies, requirements, responsibilities and procedures for Departmental elements and contractors. Directives include Policies, Orders, Notices, Manuals, and Guides. Manuals are currently being phased out.
15. Directives Program Notification. A notification created by the Departmental Directives Program that is used to communicate the approved issuance, revision, or cancellation of a directive or other administrative action regarding directives.
16. Directives Review Board (DRB). Chaired by the Director, Office of Management, the Board advises, as well as concurs, on individual directives before their approval by the DOE Operations Committee for release for DOE-wide comment and final issuance. Board membership is comprised of two senior representatives from each of the three Under Secretarial offices, the Office of the General Counsel, and the Office of Environment, Health, Safety and Security. Non-voting, advisory members include senior representatives from the National Laboratory Directors Council and the Field Management Council.
17. DOE Operations Committee. Chaired by the Deputy Under Secretary for Management and Performance and advised by the DRB, the Committee provides strategic oversight and senior-level direction on the need for new or updated directives and other Departmental requirements. The DOE Operations Committee reviews the justification and needs for requirements, with respect to mission relevance and impact. The DOE

Operations Committee appropriately prioritizes a directives schedule that establishes next steps to promote mission achievement.

18. Equivalencies. Alternatives to how a requirement in a directive is met in cases where the “how” is specified. These represent acceptable, alternative approaches to achieving the goal of a directive’s requirement.
19. Exemptions. A release from compliance with one or more requirements in a directive, as granted by the exempting organization’s Head of the Departmental Element.
20. Fast Track Development. A course of directives development reserved minor changes proposed by the OPI, undisputed reductions in requirements as agreed to by the DRB and DOE Operations Committee, changes directed by S1/S2, verbatim codification of Secretarial Memoranda into directives, or a combination of the above.
21. Financial Impact Analysis. A document that details potential significant budgetary or other resource impacts of a directive’s implementation on the Department, shared with DRB members upon request.
22. H Clause. A clause inserted into section H (Special Contract Requirements) of a contract, used to specify and tailor requirements.
23. Heads of Departmental Elements. For the purposes of this Order, Heads of Departmental Elements include the Assistant Secretaries and Program Office Directors reporting to the Secretary either directly or through the Deputy Secretary or Under Secretaries. The NNSA Administrator is the only NNSA Head of the Departmental Element. For the purposes of this Order, Power Marketing Administrators are Heads of their Departmental Elements. Heads of Departmental Elements implement the requirements and responsibilities assigned to them in this Order. The Secretary, Deputy Secretary, and Under Secretaries may also perform these roles at their discretion.
24. Impasse. When a resolution of directives issue(s) cannot be agreed on between one or more Heads of Departmental Elements.
25. Integrated Project Team (IPT). A group of DOE Federal and contractor employees – including, but not limited to, OPI representatives; senior-level program and National Laboratory executives; SMEs; and DOE general oversight representatives, as applicable – convened to work on the revision or development of a specific directive.
26. Invoked Technical Standard. A DOE Technical Standard that is called upon, in part or in whole, as a required method in a DOE Directive based on a clear requirement statement. The following is an example of an invoking requirement statement: “DOE Headquarters line management must oversee DOE field processes for verifying readiness to startup and restart nuclear facilities in accordance with . . . DOE-STD-3006, Planning and Conducting Readiness Reviews. (DOE Order 425.1D)”
27. Minor Change. When a directive modification is restricted to a limited portion of the requirements and/or responsibilities established in the directive. The review process for a

minor change is limited to only the changed portions of the draft directive. Previously known as the Page Change.

28. Office of Primary Interest (OPI). The office responsible for originating a directive and maintaining its accuracy and currency.
29. Procurement Management System. The Procurement Management System encompasses the integration of the procurement process (acquisition of supplies, services, and property), the professional development of procurement personnel, development of DOE procurement regulations and policies, and the management structure for carrying out the procurement function. The procurement programs managed by DOE and NNSA Senior Procurement Executives that ensure the development and implementation of Department-wide policies, procedures, programs, and management systems pertaining to procurement and financial assistance.
30. Requirements. Activities that must be performed pursuant to a directive to fulfill the Department's mission.
31. Responsibilities. Duties and authorities assigned to a position or office to implement, manage and/or oversee.
32. Review and Comment system. A web-based workflow system used by the DOE for coordination of draft directives.
33. Revision. When a proposed modification to a directive will affect a large portion of its requirements and/or responsibilities, as determined by the Departmental Directives Program.
34. Senior Authorizing Officials (SAOs). Senior-level Headquarters managers designated to lead efforts to solicit, review, and adjudicate comments from within their organizations. Duties include assigning local SMEs to review directives actions; soliciting and consolidating comments on directives actions; ensuring management concurrence with comments; authorizing the AC to submit the organization's final, consolidated comments on directives and related documents; facilitating comment and issue resolution; informing SMEs of comment resolution and disposition; and acting as liaison between their organizations and the DRB.
35. Stakeholder. A person or organization affected by or with an interest or concern in a directive, and therefore an interest or concern in changes made to that directive. DOE stakeholders may include, but are not limited to:
 - a. affected program and site offices;
 - b. Field Management Council representatives, as appropriate;
 - c. National Laboratory Directors Council representatives, upon DRB request;

- d. the appropriate DOE or NNSA counsel;
 - e. the Office of Primary Interest (Preparing Activity) responsible for any DOE Technical Standard being invoked in the directive;
 - f. the Office of Policy, Office of Acquisition Management (MA-61);
 - g. Field Contracting Officers;
 - h. CTAs, when appropriate; and
 - i. the DOE Departmental Representative to the DNFSB, for all directives of interest to the DNFSB.
36. Technical Standard. DOE standards, handbooks, and specifications established, approved, and maintained in accordance with the DOE Technical Standards Program (see the current version of DOE O 252.1, *Technical Standards Program*). DOE standards, the only type of DOE technical standard that may be invoked in a DOE Directive, provide specific standardized approaches, methodologies, technical criteria, or other information on accomplishing a task, developing a plan, and/or performing a calculation or assessment to implement a DOE requirement. DOE standards provide a common shared approach or methodology for implementing a DOE requirement such that its implementation is consistent across DOE programs and operations.
37. Unauthorized Directives. Unauthorized directives are documents that purport to apply on-going requirements (other than legal requirements) to more than one Departmental element outside the OPI's chain of command, and that have not been reviewed and promulgated through the processes described in this Order. Exceptions are allowed for unique requirements promulgated through acceptable alternative programs or processes covered by an Order, if addressed in paragraph 3.c. of this Order, or as otherwise directed in writing by the Secretary or Deputy Secretary.
38. Voluntary Consensus Standards. Standards are developed through a process that is open to participation by representatives of all interested parties, transparent, consensus-based, and subject to due process. These might be developed by governmental organization or private sector groups such as the American Society for Testing and Materials (ASTM) or the International Organization for Standardization (ISO).