



PROCEDURE 251.1-1K

Title:	<b>DIRECTIVES MANAGEMENT PROCESS</b>
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Cancellation:	Procedure 251.1-1J, Directives Management System

TABLE OF CONTENTS

1.	PURPOSE .....	3
2.	APPLICABILITY .....	3
3.	PROCEDURE .....	3
	a. Reviewing and Implementing a DOE Directive.....	3
	b. Creating or Modifying a Directive .....	4
	c. Reviewing a Directive .....	6
	d. Canceling a Directive .....	7
	e. Directive Formats .....	7
	f. Official Use Only Directives .....	8
4.	RESPONSIBILITIES .....	9
	a. NETL Director and Chief Operating Officer .....	9
	b. Director, ES&H Division .....	9
	c. Federal Directives Manager .....	9
	d. Directives Coordinator .....	9
	e. Office Director .....	10
	f. Division Director .....	10
	g. Federal Subject Matter Expert.....	10
5.	TRAINING.....	10
6.	RECORD CONTROL.....	11
7.	REQUIREMENTS .....	12
8.	REFERENCES .....	12
9.	DEFINITIONS .....	12
10.	REVISION HISTORY .....	14

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**ATTACHMENTS**

Attachment 1, Reviewing and Implementing DOE Directives  
Attachment 2, Creating or Modifying a NETL Directive  
Attachment 3, Reviewing a Directive

**FORMS**

NETL Form 251.1-1, [DOE Directive Action Tracking](#)  
NETL Form 251.1-2, [Directives Process](#)

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1. **PURPOSE**

- a. To establish procedures for the NETL directives **program** which provides for the documentation of policies, operating plans, and procedures.

2. **APPLICABILITY**

- a. This procedure applies to all NETL directives created for use by NETL employees.

3. **PROCEDURE**

- a. Reviewing and Implementing a DOE Directive

DOE draft directives are sent to the field for review and comment before their approval and publication. This is an opportunity for the field to ensure that the directive is appropriate for their operations and to have an impact on how the directive is written and implemented. Failure to comment on a directive surrenders the right of the organization to have input on the directive. Responses should be carefully crafted to explain any objections to the draft directive.

Steps in reviewing and implementing:

- (1) The directives coordinator receives draft DOE directive for comment through the DOE directives notification system via e-mail.
- (2) The directives coordinator sends the DOE directive to the appropriate **subject matter expert** (SME) for review and comment. If it is unclear as to whom the SME is for a particular DOE directive, the federal directives manager shall make the determination.
- (3) The SME reviews the DOE directive and drafts a response to the draft directive **following the instructions provided by the DOE directives notification system.**
- (4) The directives coordinator will then enter **any** comments using the DOE RevCom system. If there are no comments or impacts on NETL, then comments are not entered into RevCom.
- (5) When the DOE directive has been approved, the directives coordinator receives notification of the approval through the DOE directives notification system via e-mail.
- (6) The directives coordinator sends the approved DOE directive along with the NETL Form 251.1-1, DOE Directive Action Tracking, to the designated SME for action.

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- (7) The SME determines the appropriate NETL action which is one of the following:
- Not applicable, or
  - Applicable, revision to NETL directive is not needed, or
  - Applicable, revision to NETL directive is needed, or
  - Applicable, new NETL directive is needed.

All applicable DOE orders must have a corresponding NETL order that assigns **organizational** responsibility and general requirements for the implementation of the DOE order. **If the SME decides to follow the DOE order requirements and its implementing guides and manuals, then an adoption order is created. An adoption order is an NETL order which states that NETL will follow the DOE order, guides, and manuals, and it assigns implementation to an NETL organizational element.**

- (8) Form 251.1-1, DOE Directive Action Tracking, is completed and returned with any new or revised NETL directive to the directives coordinator, who then processes the directive according to the steps listed below.

b. **Creating or Modifying a Directive**

- (1) The cognizant division director will assign an SME to each directive. **The SME is** responsible for maintaining that directive.
- (2) NETL directives may be created without reference to a DOE directive. Any employee may suggest that a directive be created **or modified** by contacting the appropriate SME, who **will** make the determination as to the need for a **new** directive **or a modification to an existing directive. The SME will create the new directive or modify the existing directive.** NETL policies, operating plans, and procedures should be documented as an NETL directive, **as this is the recognized program for documenting policies, operating plans, and procedures.**
- (3) **There are three types of directives that may be created. Consult with the federal directives manager for help in determining which directive type to use.**
- (a) **Order — Documents NETL policy, assigns organizational responsibility for implementation, provides general implementation requirements, and references any DOE directives which are used in the implementation.**
- (b) **Operating Plan — Provides a strategy or overview of a program that has multiple procedures. Operating plans should reference the applicable NETL order. Operating plans are not required for every order.**

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- (c) Procedure — Provides directions to implement an order or operating plan. Procedures reference the applicable NETL order or operating plan which they implement.
- (4) The SME submits a new or modified directive to the directives coordinator along with a completed NETL Form 251.1-2, Directives Process.
- (5) The directives coordinator reviews the draft directive for conformance with this procedure and assigns a number using the DOE numbering system available on the DOE directives website ([www.directives.doe.gov](http://www.directives.doe.gov)). The directives coordinator works with the SME to resolve any issues.
- (6) The directive is prepared in final form. Prior to routing, a preview copy of the directive is sent electronically to the SME, the labor-management relations (Human Resources), an Albany representative, a Tulsa representative, and any others identified by the federal directives manager or SME. Those receiving the electronic directive have five days to make comments to the SME. The SME will address all comments and concerns. If no comments or concerns are received within five working days, then the directive is routed for approval.
- (7) A routing package is prepared which includes the directive and a concurrence instruction sheet. The SME creates the concurrence list. The package is routed for concurrence and approval.
- (8) Each type of directive has a different level of approval:
  - (a) Orders are approved by the chief operating officer or the NETL director.
  - (b) Operating plans are approved by the cognizant office director(s).
  - (c) Procedures are approved by the cognizant division director(s) or the supervisor of the organization which created the procedure (e.g., office director, chief counsel, or public affairs officer).
- (9) The completed package is returned to the directives coordinator, who posts the directive to the intranet along with a notice to the post-it board announcing the new directive and a summary of its contents.
- (10) If the directive is an ES&H directive, the directives coordinator updates the focused standards list (FSL) using the requirement section of the directive and notifies the ES&H Division to ensure that a copy of the standard is available either in hardcopy or through the intranet.
- (11) Directives remain in effect until they are cancelled or revised.

c. Reviewing a Directive

- (1) Directives **are** periodically reviewed to ensure that they are current and still applicable. Orders shall be reviewed every 3 years. Operating plans and procedures shall be reviewed every year for the first 3 years from the original issue date and every 3 years thereafter. The review date is based on the most recent issue date of the directive.
- (2) The directives coordinator shall notify the SME by e-mail at least 60 days prior to the required review date. The notification will include the review due date and instructions on how to document the review. The directives coordinator will continue to notify the SME monthly until the directive **has been reviewed and returned**. **If the SME has not returned the directive** four (4) months past the review date, the SME's division director **and the approving official** will be included on the **subsequent** notification **e-mails**. Six (6) months past the review date, the directive **will** be cancelled by the federal directives manager and removed from the active directives list.
- (3) The SME **will** review the directive to ensure that it reflects actual practice and make **any** changes to ensure that the directive is accurate. The SME shall document the review using NETL Form 251.1-2, **Directives Process**.
- (4) If no revisions are needed, then the SME **will** send the completed form to the directives coordinator. The directive will not receive a new revision letter or revision date, but the review date will be indicated on the first **title** page of the directive. The **directives** tracking system will **be updated with the information**.
- (5) If the directive is due for review and the approving official has changed since it was last approved, then the directive **will** be routed for signature to the new approving official, even if no other changes are needed.
- (6) If revisions are needed, the SME **will either** make the changes to the Word® file using track changes or print and mark up the hard copy. For version control, tracked changes and/or marked hard copies are the only acceptable methods of submitting changes. The directive will be returned to the SME if changes are made any other way. The changes **will** be sent with the completed form to the directives coordinator, who makes the revisions, **sends the draft for preview**, routes the directive for approval, posts the revised directive to the intranet once it is approved, and posts a notice to the intranet announcing the revised directive and a short summary of the revisions **[see steps b.(2)-(8)]**.
- (7) If the directive is no longer needed, the SME **will** indicate this on the form, obtain the appropriate signatures, and send the completed form to the directives coordinator, who **will** remove it from the intranet.
- (8) Non-substantive changes may be made to directives at the request of the SME or the federal directives manager. Examples of such changes include organizational

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title changes, minor changes to references, and corrections to grammar or spelling. The changes **will** be made to the directive, and the directive **will** be posted to the intranet without any additional **approvals or revision changes**.

- (9) **The directive coordinator updates the FSL as needed when a directive is revised or cancelled.**

d. Canceling a Directive

- (1) Directives may be cancelled when there is no longer a need for the directive, the directive's requirements are combined with another directive, or the directive is superseded by a more recent version.
- (2) NETL Form 251.1-2 will be used to document the **directive** cancellation when the directive is no longer needed. Directives that are superseded by a newer version **will** be cancelled by the newer directive in the cancellation section of that directive.
- (3) The directives coordinator **will** remove the directive from the intranet and archive the hardcopy for future reference. The hardcopy **will** be marked to indicate that it has been cancelled.
- (4) The federal directives manager **will** cancel any directives that are 6 months or more past their last review date after the SME and the cognizant division director have been notified of the cancellation and given an opportunity to update the directive.

e. Directive Formats

- (1) The formats for the directives can be found on the procedure section of the intranet. The format is controlled by the federal directives manager.
- (2) Directives will be prepared using Microsoft® Word®. Directives will be converted to Adobe® Acrobat® format (PDF) before posting to the intranet.
- (3) The font used for directives will be Times Roman, 12-point, except for the fonts used in the titles, numbers, and dates.
- (4) The outline levels will be:
  1. FIRST LEVEL — All caps, **bold, and** underlined.
    - a. Second Level — **underlined**.
      - (1) Third Level
      - (a) Fourth Level

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(5) All paragraphs will be left justified and indented to the right of the paragraph number.

(6) The following words will be placed on each page published on the intranet:

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(7) The final version of the directive shall be put into PDF format before posting. File names for directives posted to the intranet will be in the following format:

Orders: XXX\_Xoriginal.pdf  
Operating plans/procedures: XXX\_X-Yoriginal.pdf

Where:

XXX\_X is the directive number.  
Y is the operating plan or procedure sub-number.

The revision letter is not included in the file name.

f. Official Use Only Directives

(1) Directives which have been declared for official use only (OUO) are not for general distribution to employees. The OUO designation shall be determined by the SME. For OUO directives, the following information shall be contained on the cover sheet of the directive:

<b>OFFICIAL USE ONLY</b>	
May be exempt from public release under the Freedom of Information Act (5 U.S.C. 552), exemption number and category: _____	
Department of Energy review required before public release	
Name/Org: _____	Date: _____

(2) The directive shall not be posted to the intranet, but the number, revision, and title shall be posted underneath the title along with the following: (Official Use Only, Contact [SME], [SME phone number]).

(3) Directives that contain OUO information will be routed using a blue security envelope or other means that protect the contents.

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4. **RESPONSIBILITIES**

a. **NETL Director and Chief Operating Officer**

- (1) Approves and cancels all NETL orders and any operating plans and procedures that originate within the Director's office.

b. **Director, ES&H Division**

- (1) Ensures that the NETL directives program is implemented through appropriate plans and procedures.
- (2) Appoints the NETL federal directives manager.

c. **Federal Directives Manager**

- (1) Maintains policies and procedures for the directives program.
- (2) Oversees the general operation of the directives program and the directives coordinator.
- (3) Provides consultation and training in the preparation of NETL directives.
- (4) Ensures the NETL directives are reviewed and updated as required or ensures their cancellation.
- (5) Provides continual improvement ideas for the directives program.
- (6) Establishes format and general requirements for directives.

d. **Directives Coordinator**

- (1) Ensures that the official copy of all directives is posted to the intranet.
- (2) Maintains the record set of signed NETL directives.
- (3) Archives NETL directives records.
- (4) Provides consultation in the preparation of NETL directives.
- (5) Receives draft DOE directives, provides them to the appropriate NETL SMEs for response, submits NETL responses to draft DOE directives to RevCom, and maintains a record of the responses.

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- (6) Manages the approval cycle for draft NETL directives, tracks their status, obtains signatures, and arranges for posting **them** to the intranet.
- (7) Maintains a list of applicable and non-applicable DOE directives.
- (8) Maintains the FSL.
- (9) Maintains a tracking system for NETL directives.

e. Office Director

- (1) Implements DOE directives through development of needed NETL directives.
- (2) Approves **or** cancels **all** operating plans **that originate within his/her office** and **all procedures that are created by non-supervisory employees under their direct supervision.**

f. Division Director

- (1) Assigns SMEs to review DOE directives and to develop NETL directives **which apply to his/her responsibilities.**
- (2) Ensures the creation and maintenance of directives for which he/she is responsible.
- (3) **Approves or cancels procedures that originate within his/her division.**

g. Federal Subject Matter Expert

- (1) Prepares assigned directives according to this procedure.
- (2) Prepares responses to draft DOE directives.

5. **TRAINING**

- a. Division directors and office directors shall be informed of the existence of this procedure and the requirements to develop directives to document NETL work processes. The federal directives manager shall provide this notification annually.
- b. Training shall be offered every 3 years to all subject matter experts by the federal directives manager. The training is not mandatory, but is provided to assist the SME in his/her duties to maintain the NETL directives to which he/she is assigned.
- c. Training shall be offered by the federal directives manager to those who request the training.

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6. **RECORD CONTROL**

- a. NETL directives will comply with all formats and content established by the federal directives manager.
- b. NETL directives will reference DOE directives and other requirements as appropriate. They should not repeat nor summarize information contained in the DOE directives and other requirements; rather, they should enhance or add supplemental information.
- c. The directives on the intranet will be the official NETL version. Hard copies of NETL directives printed from the intranet shall be considered uncontrolled documents.
- d. A complete set of signed NETL directives will be maintained by the directives coordinator. Cancelled directives and previous versions are archived.
- e. Directives will be dated with the last approval date/review date and be assigned numbers using the DOE numbering system available on the DOE directives website (<http://www.directives.doe.gov>), and the revisions shall be indicated by sequential letters (i.e., A, B, C, ...).
- f. The FSL is maintained by the directives coordinator and maintained on the intranet. The FSL is reviewed/revised monthly, and this review/revision is indicated on the FSL by indicating the date of the last revision and the last review.
- g. Records created by this procedure and their retention schedules are:
  - (1) Directives (orders, operating plans, procedures) and NETL Form 251.1-2 — Archived after they are cancelled. Administrative Records Schedule 23, Records Common to Most Offices, 1. Office Administrative Files, b. Permanent. Cutoff at the end of the calendar year and transfer to NARA in 5-year blocks when 25 years old (N1-434-98-25).
  - (2) Focused Standards List — Sent to the records center monthly, DOE Records Schedule for Environment Records Introduction, 1. Administrative, k. Environmental Record Case Files, (1), Environmental Program Support Files. Cutoff annually, destroy after 25 years (N1-434-00-7).
  - (3) SME Comments on Draft DOE Directives and NETL Form 251.1-1 — Archived at the end of the year. Administrative Records Schedule 23, Records Common to Most Offices, 1. Office Administrative Files, b. Permanent. Cutoff at the end of the calendar year and transfer to NARA in 5-year blocks when 25 years old (N1-434-98-25).

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7. **REQUIREMENTS**

- a. DOE Order 251.1, Departmental Directives Program.
- b. NETL Order 251.1, Directives Program.

8. **REFERENCES**

- a. None.

9. **DEFINITIONS**

- a. Directives — Directives are orders, operating plans, and procedures that have one or more of the following purposes:

- (1) Establish or change administrative policies and procedures.
- (2) Provide information essential to the administration and operation of NETL.
- (3) Define requirements that must be met for conformance to DOE directives.

Directives do not include standard operating procedures for projects or equipment.

- b. Directives Coordinator — The employee who is responsible for the day-to-day operation of the directives program.
- c. Directives Manager — The federal employee who is responsible for the directives program, policy, and procedures.
- d. Focused Standards List (FSL) — Also called the ES&H standards list. A summary list of the ES&H standards as compiled from all NETL ES&H directives. Specific citations may be generalized to reference major sections of federal or state code or the entire source document.
- e. Operating Plans — Directives which provide a strategy or overview of a program which has multiple procedures.
- f. Orders — Directives stating NETL policy and ascribing responsibility to the implementing organization.
- g. Procedures — Written directions that describe the steps to implement an order or operating plan. Procedures do not include operating procedures related to the operation of R&D projects or equipment.

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- h. RevCom — Internet-based DOE directive comment submission system. This system is owned and operated by the Department of Energy.
- i. SME — Subject matter expert. The federal employee assigned the responsibility for maintaining the directives assigned to him or her.

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10. **REVISION HISTORY**

<b>VERSION</b>	<b>DATE</b>	<b>SUMMARY OF CHANGES</b>
Original	11/13/00	To establish procedures for the implementation of an NETL directives system.
A	7/5/01	These revisions include assigning the responsibility for entering data into the RevCom system to the directives coordinator, stating that the official controlled hard copy version of NETL directives shall reside with the directives coordinator and that hard copies of NETL directives printed from the intranet shall be considered noncontrolled documents, guidance for documenting adoption of the DOE directive rather than developing a separate NETL directive, and other changes needed to clarify the NETL directives implementation process.
B	7/10/02	These revisions include (1) removing the requirement to attach forms if they are available on the intranet; (2) stopping the use of "NETL" in the titles of the directives -- this is unnecessary; (3) simplifying the definitions of orders, plans, procedures, and notices; and (4) removing unnecessary definitions.
C	11/15/02	These revisions include (1) changing responsibility for directives from ITD to ES&HD, (2) updating the formats of the directives for consistency, (3) removing the procedures for Field Management Council requests, (4) removing attachments, and (5) other changes for clarity.
D	3/6/03	These revisions include (1) streamlining the directives review process, (2) combining the review form and cancellation form into one form, (3) removing the attachments and making them available on the intranet, and (4) other changes for clarity.
E	6/17/03	Changes were made to allow for non-substantive changes to directives and to provide procedures for the handling of official use only directives. Other minor changes were made for clarification.
F	10/28/03	The major revision is to change the approving authority for orders and notices from the deputy director for operations to the NETL director. Other minor changes have been made for clarification.
G	4/6/04	Revisions include adding more information regarding the maintenance of the ES&H FSL, providing specific information regarding archiving of cancelled directives, and adding a requirement for the Tulsa, Oklahoma, office to review orders for applicability to their location and employees. Other changes have been made to clarify the procedure.

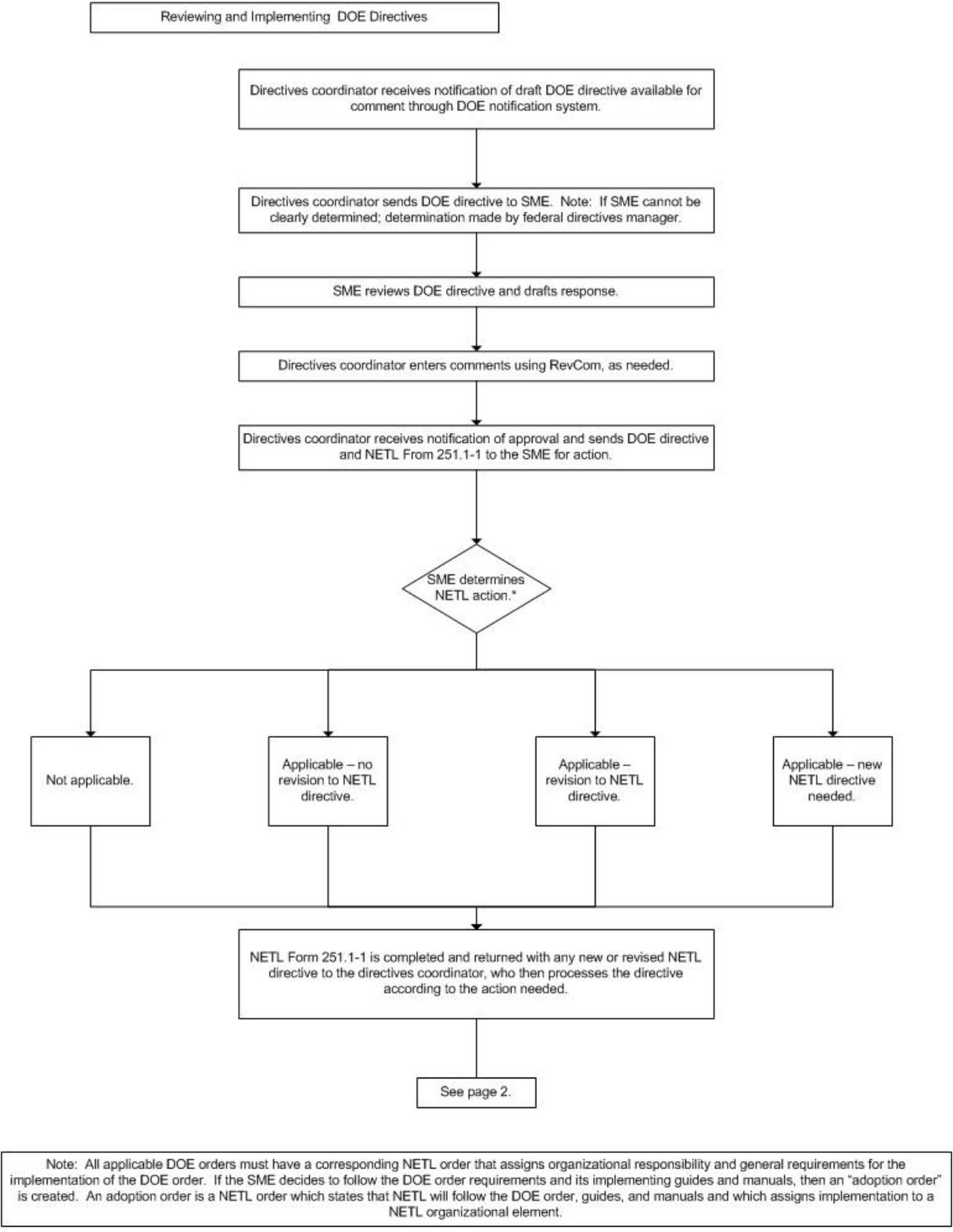
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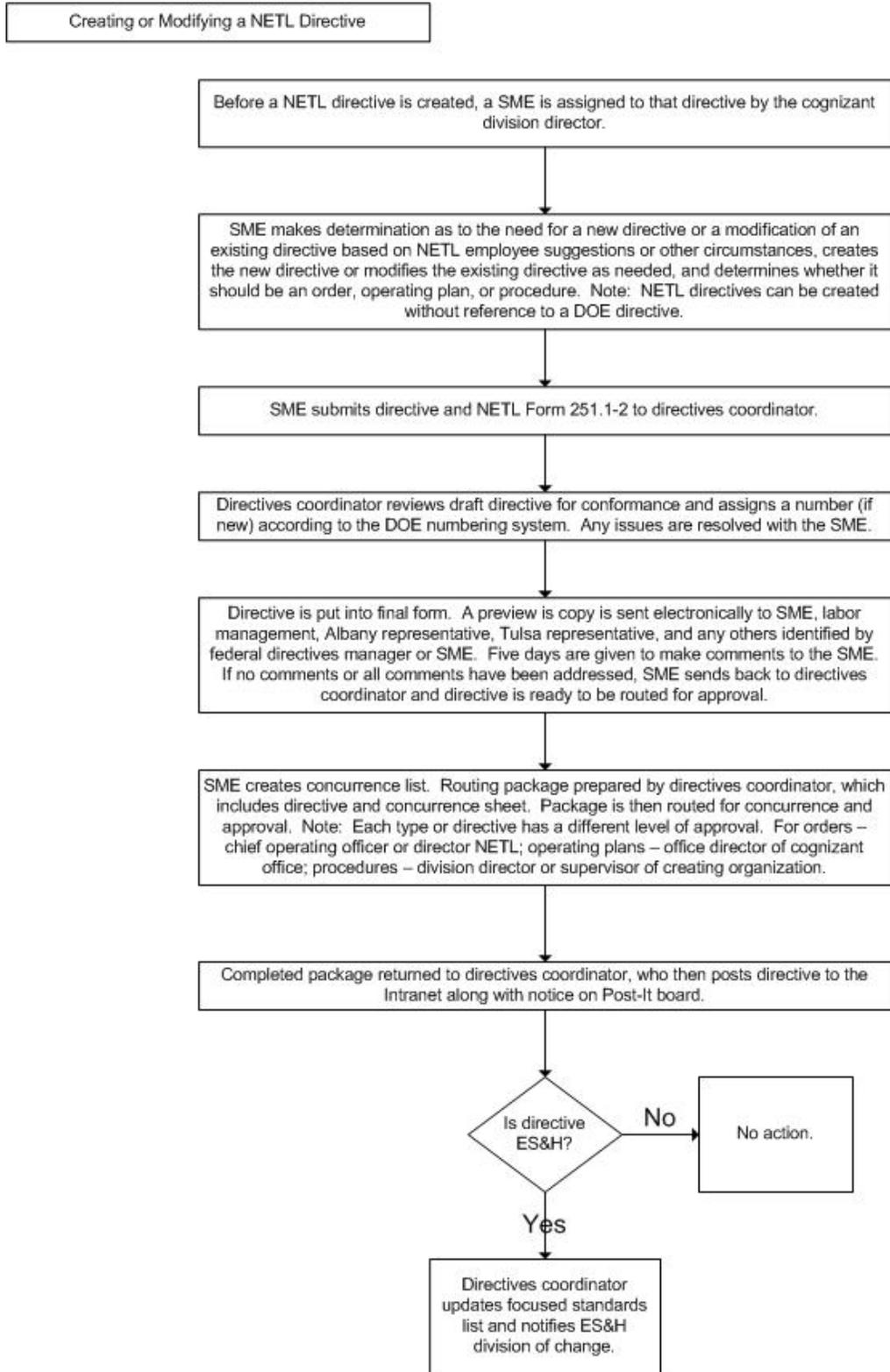
VERSION	DATE	SUMMARY OF CHANGES
H	1/27/05	Changes made include clarifying the federal directive manager’s responsibilities, clarifying the requirements for archiving records, changing the format to include the review date, including a requirement that directives be re-approved during scheduled review if the approving official has changed, including a requirement to add the monthly review date on the FSL, removing references to guidelines, and changing the title of associate director to office director.
I	6/13/05	Changes made include removal of notices as a type of directive, inclusion of the list of records generated by the process and their dispositions, removal of AAD responsibilities to include directives in contracts (this is a CO/COR function), information related to training requirements and schedules, definitions for the directives manager and directive coordinator, requirement for the SMEs to ensure that the directives under their control are accurate, and other changes to ensure the procedure reflects actual practice.
J	8/7/06	Changes include placing the procedure into the new directives format, adding SME’s comments to draft DOE directives to the list of records generated by the directives process and their dispositions, adding NETL-Tulsa and NETL-Albany on the concurrence of NETL directives, identifying the acceptable methods of submitting changes to directives, and removing the directive format from the procedure section.
K	3/30/07	Changes made include changing approval authorities to align with NETL Order 251.1; added process step for labor-management review as agreed to in the bargaining agreements; and other minor changes were made to make the procedure easier to use.

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